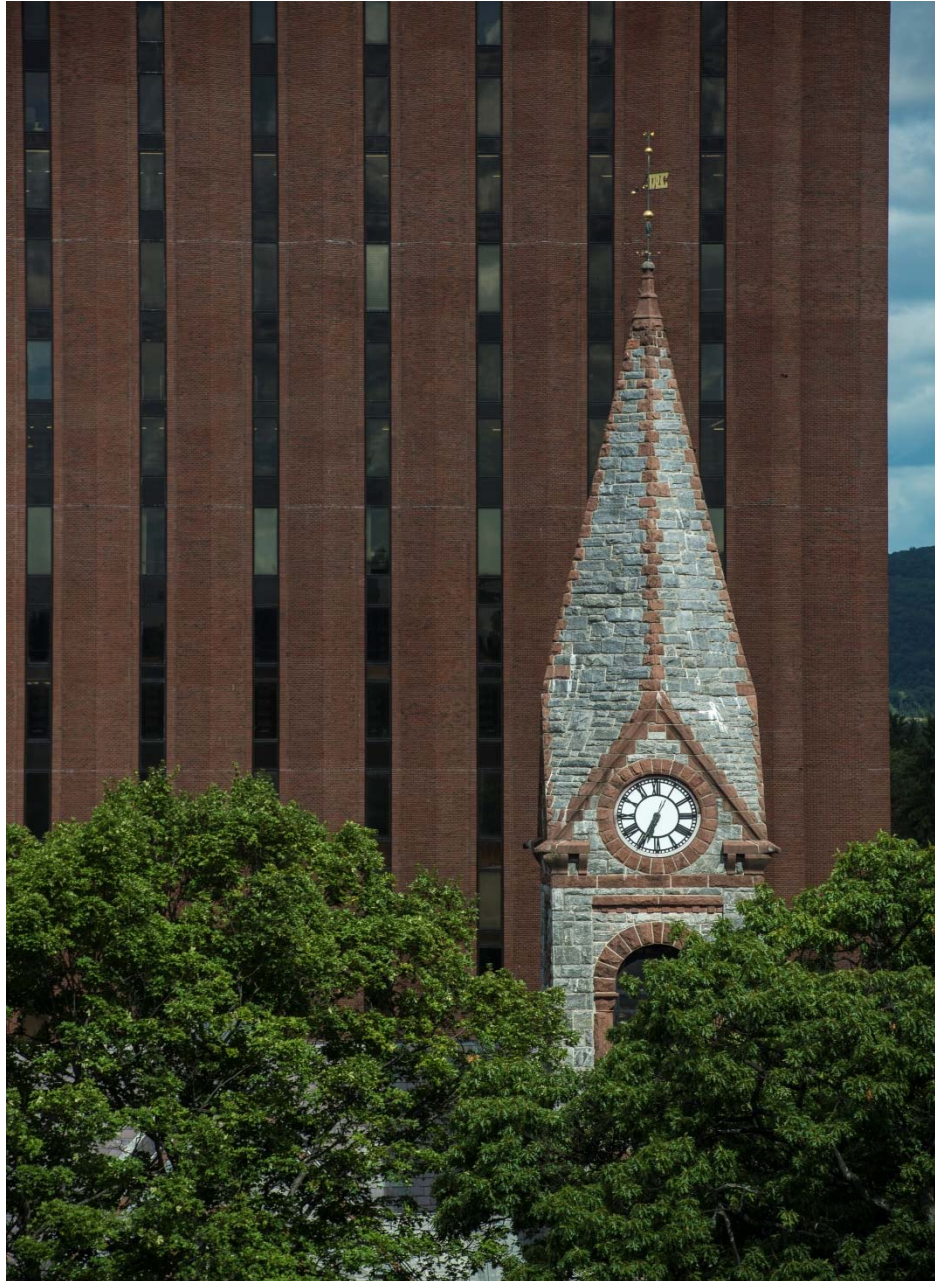


SPONSORED ACTIVITIES

ANNUAL REPORT FISCAL YEAR 2013



VICE CHANCELLOR FOR RESEARCH & ENGAGEMENT

OFFICE OF GRANT AND CONTRACT ADMINISTRATION

OFFICE OF GRANT AND CONTRACT ADMINISTRATION

Staff Directory

Vice Chancellor for Research and Engagement

Michael F. Malone, Vice Chancellor for Research and Engagement

Office of Grant and Contract Administration

DIRECTORS

Carol Sprague, Director - (545-0698)
Theresa Girardi, Assistant Director - (545-0698)
Nancy Stewart, Assistant Director - (545-0698)
James Ayres, Assistant Director - (577-1594)
Marguerite Gargiulo, Office Manager - (577-1590)
Donna Hamel, Receptionist - (545-0698)
Leslie Burke, Reprographics - (545-5889)

PROPOSAL PROCESSING

GRANT & CONTRACT ADMINISTRATORS
James Ayres, Assistant Director - (577-1594)
Mary Bryskiewicz - (545-9878)
Marcia Day - (545-0674)
Jorge Guzman - (545-5898)
Kimberly Lowney - (545-0674)
Renee Simon – (545-5873)

CLERICAL STAFF/ PROPOSAL STATUS

Jody Powell - (545-0296)
Andy Steinberg - (545-0674)
FAX: (413) 545-1202

AWARD PROCESSING

GRANT & CONTRACT ADMINISTRATORS
Nancy Stewart, Assistant Director - (545-0759)
Theresa Girardi, Assistant Director - (545-0759)
Andrew Cote - (577-1592)
John Fillio - (545-0698)
Susan Girouard - (545-0698)
Sara Powers - (545-0698)

CLERICAL STAFF/ AWARD STATUS

Kathy Griffin - (545-5888)
Christa Danylieko - (545-0759)
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COMPUTER NETWORK STAFF

Leanne Every, Director Systems Division - (545-5892)
Wayne Gelineau, Database Manager - (545-5897)

**Research Administration Building, 70 Butterfield Terrace
University of Massachusetts Amherst, MA 01003-9242 (413) 545-0698**

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PROPOSALS

Proposal Trends

Figure 1: New Proposal Dollars FY 2009-2013

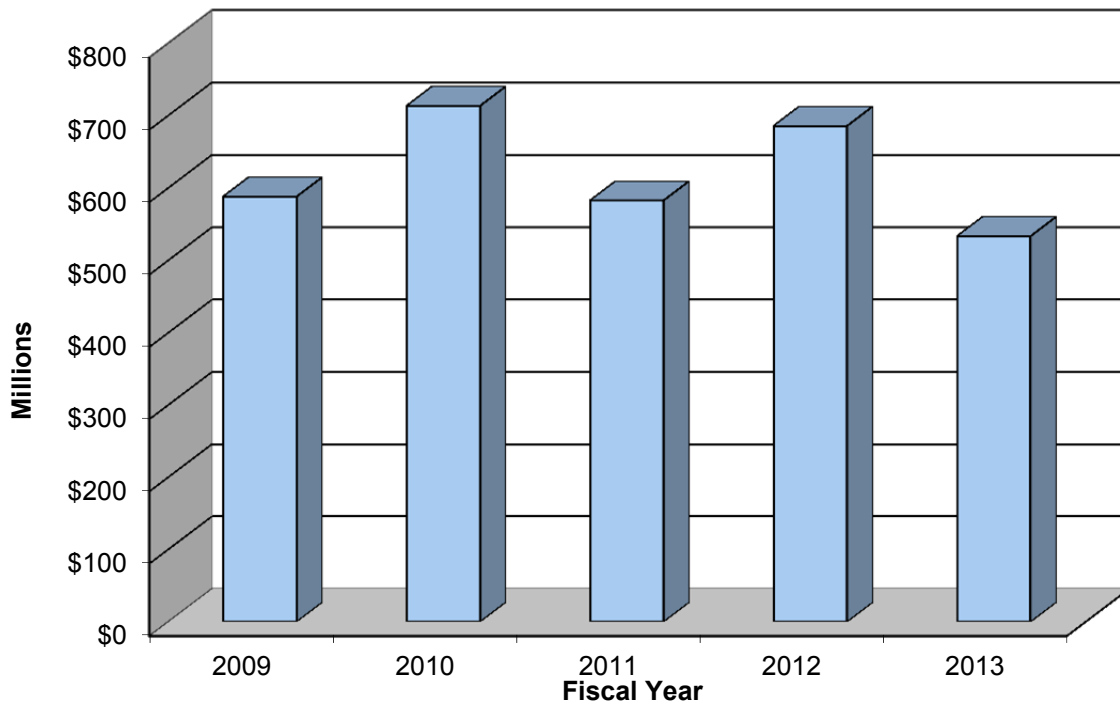
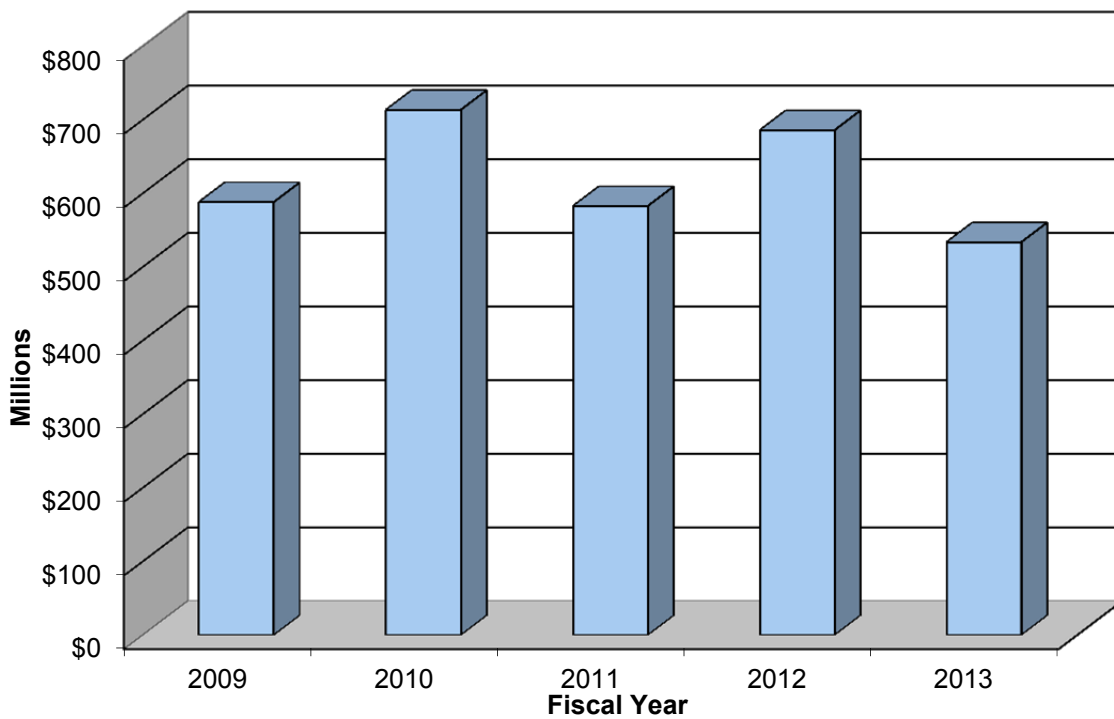


Figure 1: New Proposal Dollars FY 2009-2013



PROPOSALS

Table 1
5 Year New Proposal Success Rate Trend FY 2008-2012

Fiscal Year	2008		2009		2010		2011		2012	
Sponsor or Agency	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars	#	Project Dollars
US Dept of Agriculture										
New Awarded	9	\$1,634,491	24	\$4,608,035	20	\$7,073,111	23	\$19,099,399	24	\$11,877,442
New Not Awarded	28	\$10,079,602	43	\$33,033,209	33	\$27,988,018	28	\$11,244,781	18	\$3,642,447
Total New	37	\$11,714,093	67	\$37,641,244	53	\$35,061,129	51	\$30,344,180	42	\$15,519,889
% of New Prop Awarded	24%		36%		38%		45%		57%	
US Dept of Commerce										
New Awarded	5	\$799,496	3	\$690,275	3	\$950,219	4	\$533,539	8	\$1,820,185
New Not Awarded	3	\$1,568,546	6	\$1,294,724	13	\$42,325,425	15	\$26,370,103	4	\$831,786
Total New	8	\$2,368,042	9	\$1,984,999	16	\$43,275,644	19	\$26,903,642	12	\$2,651,971
% of New Prop Awarded	63%		33%		19%		21%		67%	
US Dept of Defense										
New Awarded	6	\$1,796,826	12	\$6,362,645	19	\$6,600,874	17	\$7,084,991	12	\$4,273,546
New Not Awarded	34	\$10,865,119	33	\$24,337,179	39	\$58,308,239	16	\$5,181,866	32	\$46,892,183
Total New	40	\$12,661,945	45	\$30,699,824	58	\$64,909,113	33	\$12,266,857	44	\$51,165,729
% of New Prop Awarded	15%		27%		33%		52%		27%	
US Dept of Education										
New Awarded	3	\$2,190,830	2	\$1,598,478	1	\$399,810	0	\$0	2	\$1,990,283
New Not Awarded	6	\$3,029,193	6	\$3,046,125	12	\$14,069,363	11	\$9,023,783	5	\$4,266,110
Total New	9	\$5,220,023	8	\$4,644,603	13	\$14,469,173	11	\$9,023,783	7	\$6,256,393
% of New Prop Awarded	33%		25%		8%		0%		29%	
US Dept of Energy										
New Awarded	5	\$2,649,652	6	\$27,513,535	4	\$26,034,266	10	\$8,909,820	6	\$9,654,552
New Not Awarded	3	\$2,193,153	8	\$10,233,272	22	\$19,491,673	19	\$25,784,878	11	\$44,634,734
Total New	8	\$4,842,805	14	\$37,746,807	26	\$45,525,939	29	\$34,694,698	17	\$54,289,286
% of New Prop Awarded	63%		43%		15%		34%		35%	

PROPOSALS

Table 1 (cont'd)

5 Year New Proposal Success Rate Trend FY 2008-2012

Fiscal Year	2008		2009		2010		2011		2012		
Sponsor or Agency	# Project Dollars		# Project Dollars		# Project Dollars		# Project Dollars		# Project Dollars		
US Dept of Health and Human Services											
New Awarded	17	\$27,936,366	23	\$17,867,728	34	\$21,355,274	23	\$30,034,496	25	\$32,756,645	
New Not Awarded	76	\$75,006,908	123	\$114,184,102	107	\$139,820,812	103	\$134,030,755	102	\$133,031,745	
Total New	93	\$102,943,274	146	\$132,051,830	141	\$161,176,086	126	\$164,065,251	127	\$165,788,390	
% of New Prop Awarded	18%		16%		24%		18%		20%		
US Dept of Homeland Security											
New Awarded	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0	
New Not Awarded	1	\$785,157	0	\$0	0	\$0	0	\$0	1	\$975,000	
Total New	1	\$785,157	0	\$0	0	\$0	0	\$0	1	\$975,000	
% of New Prop Awarded	0%		0%		0%		0%		0%		
US Dept of Housing and Urban Development											
New Awarded	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0	
New Not Awarded	1	\$0	0	\$0	0	\$0	0	\$0	1	\$258,921	
Total New	1	\$0	0	\$0	0	\$0	0	\$0	1	\$258,921	
% of New Prop Awarded	0%		0%		0%		0%		0%		
US Dept of Interior											
New Awarded	10	\$408,305	6	\$502,161	10	\$1,331,249	8	\$8,729,448	6	\$1,227,324	
New Not Awarded	8	\$109,187	8	\$996,175	8	\$461,472	7	\$233,427	11	\$555,248	
Total New	18	\$517,492	14	\$1,498,336	18	\$1,792,721	15	\$8,962,875	17	\$1,782,572	
% of New Prop Awarded	56%		43%		56%		53%		35%		
US Dept of Justice											
New Awarded	0	\$0	0	\$0	0	\$0	1	\$700,443	0	\$0	
New Not Awarded	1	\$1,396,411	3	\$1,301,757	0	\$0	3	\$2,068,543	1	\$498,785	
Total New	1	\$1,396,411	3	\$1,301,757	0	\$0	4	\$2,768,986	1	\$498,785	
% of New Prop Awarded	0%		0%		0%		25%		0%		

PROPOSALS

Table 1 (cont'd)

5 Year New Proposal Success Rate Trend FY 2008-2012

Fiscal Year Sponsor or Agency	2008 # Project Dollars		2009 # Project Dollars		2010 # Project Dollars		2011 # Project Dollars		2012 # Project Dollars	
US Dept of Labor										
New Awarded	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
New Not Awarded	0	\$0	0	\$0	1	\$1,824,004	0	\$0	0	\$0
Total New	0	\$0	0	\$0	1	\$1,824,004	0	\$0	0	\$0
% of New Prop Awarded	0%		0%		0%		0%		0%	
US Dept of State										
New Awarded	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
New Not Awarded	0	\$0	0	\$0	2	\$445,364	0	\$0	2	\$4,258,094
Total New	0	\$0	0	\$0	2	\$445,364	0	\$0	2	\$4,258,094
% of New Prop Awarded	0%		0%		0%		0%		0%	
US Dept of Transportation										
New Awarded	0	\$0	1	\$724,447	0	\$0	1	\$127,284	0	\$0
New Not Awarded	3	\$206,566	2	\$193,174	0	\$0	3	\$447,384	2	\$3,535,029
Total New	3	\$206,566	3	\$917,621	0	\$0	4	\$574,668	2	\$3,535,029
% of New Prop Awarded	0%		33%		0%		25%		0%	
US Dept of the Treasury										
New Awarded	0	\$0	0	\$0	0	\$0	0	\$0	1	\$91,030
New Not Awarded	1	\$0	0	\$0	0	\$0	0	\$0	0	\$0
Total New	1	\$0	0	\$0	0	\$0	0	\$0	1	\$91,030
% of New Prop Awarded	0%		0%		0%		0%		100%	
Independent Establishments & Govt Corps										
New Awarded	6	\$1,979,445	15	\$17,640,568	12	\$5,276,332	15	\$14,336,734	12	\$6,302,587
New Not Awarded	21	\$4,911,446	23	\$4,588,228	27	\$9,508,721	21	\$6,235,978	24	\$11,768,824
Total New	27	\$6,890,891	38	\$22,228,796	39	\$14,785,053	36	\$20,572,712	36	\$18,071,411
% of New Prop Awarded	22%		39%		31%		42%		33%	

PROPOSALS

Table 1 (cont'd)

5 Year New Proposal Success Rate Trend FY 2008-2012

Fiscal Year	2008		2009		2010		2011		2012	
Sponsor or Agency	# Project Dollars		# Project Dollars		# Project Dollars		# Project Dollars		# Project Dollars	
National Science Foundation										
New Awarded	60	\$63,780,676	88	\$40,339,757	98	\$55,065,666	77	\$28,500,887	92	\$40,656,825
New Not Awarded	204	\$115,383,742	189	\$168,388,104	240	\$166,947,803	221	\$125,989,333	240	\$139,434,494
Total New	264	\$179,164,418	277	\$208,727,861	338	\$222,013,469	298	\$154,490,220	332	\$180,091,319
% of New Prop Awarded	23%		32%		29%		26%		28%	
Other/Quasi Government Agencies										
New Awarded	1	\$18,566	1	\$35,072	4	\$120,500	3	\$214,160	3	\$241,449
New Not Awarded	2	\$2,888,225	0	\$0	0	\$0	0	\$0	0	\$0
Total New	3	\$2,906,791	1	\$35,072	4	\$120,500	3	\$214,160	3	\$241,449
% of New Prop Awarded	33%		100%		100%		100%		100%	
Total Federal New Proposals										
New Awarded	122	\$103,194,653	181	\$127,778,402	205	\$124,207,301	182	\$118,271,201	191	\$110,891,868
New Not Awarded	390	\$228,423,255	444	\$296,352,581	504	\$481,190,894	447	\$346,610,831	454	\$394,583,400
Total New	512	\$331,617,908	625	\$424,130,983	709	\$605,398,195	629	\$464,882,032	645	\$505,475,268
% of New Prop Awarded	24%		29%		29%		29%		30%	
Commonwealth of Massachusetts										
New Awarded	63	\$9,292,054	53	\$11,658,258	55	\$7,822,801	55	\$10,957,106	45	\$10,573,796
New Not Awarded	75	\$1,700,975	21	\$4,314,008	16	\$2,971,413	11	\$1,512,538	8	\$719,239
Total New	138	\$10,993,029	74	\$15,972,266	71	\$10,794,214	66	\$12,469,644	53	\$11,293,035
% of New Prop Awarded	46%		72%		77%		83%		85%	
Other States and Local Governments										
New Awarded	15	\$573,786	12	\$348,209	9	\$880,448	9	\$1,061,451	9	\$421,699
New Not Awarded	8	\$1,393,240	8	\$1,702,702	4	\$512,445	5	\$3,718,409	4	\$183,357
Total New	23	\$1,967,026	20	\$2,050,911	13	\$1,392,893	14	\$4,779,860	13	\$605,056
% of New Prop Awarded	65%		60%		69%		64%		69%	

PROPOSALS

Table 1 (cont'd)

5 Year New Proposal Success Rate Trend FY 2008-2012

Fiscal Year	2008		2009		2010		2011		2012		
Sponsor or Agency	# Project Dollars		# Project Dollars		# Project Dollars		# Project Dollars		# Project Dollars		
Private Sector											
Non-Profit											
Foundations											
New Awarded	44	\$2,602,412	48	\$2,308,443	53	\$3,315,217	51	\$3,463,256	51	\$1,740,543	
New Not Awarded	147	\$15,707,564	107	\$17,040,884	88	\$13,911,323	87	\$18,105,085	67	\$18,130,204	
Total New	191	\$18,309,976	155	\$19,349,327	141	\$17,226,540	138	\$21,568,341	118	\$19,870,747	
% of New Prop Awarded	23%		31%		38%		37%		43%		
Health Agencies											
New Awarded	8	\$1,234,197	6	\$244,174	1	\$67,833	4	\$61,875	6	\$327,181	
New Not Awarded	5	\$1,697,624	3	\$127,159	6	\$1,869,664	1	\$293,776	16	\$4,831,440	
Total New	13	\$2,931,821	9	\$371,333	7	\$1,937,497	5	\$355,651	22	\$5,158,621	
% of New Prop Awarded	62%		67%		14%		80%		27%		
Institutes and Associations											
New Awarded	43	\$2,224,695	41	\$3,669,738	50	\$3,465,040	55	\$5,991,101	50	\$2,875,043	
New Not Awarded	37	\$5,854,068	47	\$5,958,326	37	\$6,685,196	45	\$9,449,592	61	\$12,362,648	
Total New	80	\$8,078,763	88	\$9,628,064	87	\$10,150,236	100	\$15,440,693	111	\$15,237,691	
% of New Prop Awarded	54%		47%		57%		55%		45%		
Other Colleges and Universities											
New Awarded	58	\$7,030,689	63	\$9,061,317	63	\$7,789,496	62	\$9,397,336	66	\$11,074,932	
New Not Awarded	66	\$15,520,641	106	\$37,186,800	71	\$60,796,649	97	\$28,015,875	99	\$34,542,317	
Total New	124	\$22,551,330	169	\$46,248,117	134	\$68,586,145	159	\$37,413,211	165	\$45,617,249	
% of New Prop Awarded	47%		37%		47%		39%		40%		
Other Sponsors											
New Awarded	9	\$601,169	4	\$295,368	15	\$1,868,074	13	\$800,127	11	\$1,149,117	
New Not Awarded	2	\$237,884	8	\$2,759,453	7	\$728,273	15	\$8,292,930	9	\$6,909,106	
Total New	11	\$839,053	12	\$3,054,821	22	\$2,596,347	28	\$9,093,057	20	\$8,058,223	
% of New Prop Awarded	82%		33%		68%		46%		55%		

PROPOSALS

Table 1 (cont'd)

5 Year New Proposal Success Rate Trend FY 2008-2012

Fiscal Year Sponsor or Agency	2008 # Project Dollars		2009 # Project Dollars		2010 # Project Dollars		2011 # Project Dollars		2012 # Project Dollars	
Total Non-Profit										
New Awarded	162	\$13,693,162	162	\$15,579,040	182	\$16,505,660	185	\$19,713,695	184	\$17,166,815
New Not Awarded	257	\$39,017,781	271	\$63,072,622	209	\$83,991,105	245	\$64,157,258	252	\$76,775,715
Total New	419	\$52,710,943	433	\$78,651,662	391	\$100,496,765	430	\$83,870,953	436	\$93,942,530
% of New Prop Awarded	39%		37%		47%		43%		42%	
Industry										
New Awarded	108	\$13,339,184	85	\$9,270,770	82	\$11,311,857	95	\$23,307,609	91	\$8,155,443
New Not Awarded	37	\$6,291,106	19	\$5,456,507	43	\$8,923,070	30	\$4,625,469	31	\$10,005,450
Total New	145	\$19,630,290	104	\$14,727,277	125	\$20,234,927	125	\$27,933,078	122	\$18,160,893
% of New Prop Awarded	74%		82%		66%		76%		75%	
Total Private Sector										
New Awarded	270	\$27,032,346	247	\$24,849,810	264	\$27,817,517	280	\$43,021,304	275	\$25,322,258
New Not Awarded	294	\$45,308,887	290	\$68,529,129	252	\$92,914,175	275	\$68,782,727	283	\$86,781,165
Total New	564	\$72,341,233	537	\$93,378,939	516	\$120,731,692	555	\$111,804,031	558	\$112,103,423
% of New Prop Awarded	48%		46%		51%		50%		49%	
Total All Proposals										
New Awarded	470	\$140,092,839	493	\$164,634,679	533	\$160,728,067	526	\$173,311,062	520	\$147,209,621
New Not Awarded	767	\$276,826,357	763	\$370,898,420	776	\$577,588,927	738	\$420,624,505	749	\$482,267,161
Total New	1237	\$416,919,196	1256	\$535,533,099	1309	\$738,316,994	1264	\$593,935,567	1269	\$629,476,782
% of New Prop Awarded	38%		39%		41%		42%		41%	

PROPOSALS

Table 2

**5 Year New Proposal Trend by Major Budgetary Unit (MBU)
w/Full Project Dollars**

MBU	FY 2009		FY 2010		FY 2011		FY 2012		FY 2013	
	#	Dollars	#	Dollars	#	Dollars	#	Dollars	#	Dollars
Academic Administration	1	\$120,000	3	\$2,702,754	2	\$649,252	1	\$4,451,624	1	\$2,840,457
Academic Support	32	\$888,400	33	\$737,442	14	\$179,390	22	\$619,182	16	\$325,967
Academic Support Services	1	\$35,000	1	\$24,100	0	\$0	0	\$0	0	\$0
Campus Services	0	\$0	0	\$0	1	\$127,284	1	\$127,284	0	\$0
Center for Student Development	1	\$97,835	1	\$10,700	0	\$0	0	\$0	0	\$0
College of Engineering	211	\$139,929,634	231	\$131,111,201	236	\$139,778,349	269	\$139,427,981	281	\$109,859,830
College of Humanities & Fine Arts	25	\$448,509	34	\$6,705,464	26	\$4,508,918	33	\$5,607,295	34	\$4,200,267
College of Nat. Resources & The Envi.*	214	\$73,468,084	0	\$0*	0	\$0*	0	\$0*	0	\$0*
College of Natural Sciences	0	\$0	669	\$442,414,093	622	\$297,944,219	747	\$376,017,384	724	\$287,604,361
College of Natural Sciences and Math*	411	\$249,378,713	0	\$0*	0	\$0*	0	\$0*	0	\$0*
College of Social & Behavioral Sciences	109	\$23,793,029	72	\$11,859,512	80	\$19,154,353	78	\$10,123,677	64	\$6,790,239
Commonwealth College	2	\$596,880	2	\$654,687	2	\$234,759	2	\$90,198	0	\$0
Dean of Students	4	\$94,301	5	\$386,353	7	\$709,354	7	\$648,278	7	\$1,103,480
Deputy Chancellor	0	\$0	0	\$0	0	\$0	1	\$867,040	0	\$0
Economic Development	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
Environmental Health & Safety	2	\$38,000	2	\$87,601	1	\$143,399	1	\$233,332	2	\$179,250
Facilities Planning	0	\$0	1	\$1,849,715	0	\$0	1	\$1,944,000	0	\$0
Graduate School	3	\$5,710,746	8	\$9,535,051	5	\$7,000,817	3	\$3,122,528	3	\$1,453,722
Health Services	1	\$299,022	1	\$1,293,868	3	\$491,799	1	\$467,193	0	\$0
Housing Services	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
Human Resources	7	\$2,057,781	9	\$2,967,950	1	\$109,474	2	\$73,970	9	\$1,333,755
Office of Information Technologies	0	\$0	0	\$0	3	\$831,436	2	\$424,923	2	\$761,288
Physical Plant	0	\$0	0	\$0	0	\$0	0	\$0	1	\$387,000
Polymer Science	0	\$0	0	\$0	17	\$1,177,515	0	\$0	0	\$0
Rsrch Liaison & Tech Transfer	0	\$0	0	\$0	0	\$0	0	\$0	2	\$16,600
Research Services	0	\$0	1	\$1,000	0	\$0	0	\$0	0	\$0
School of Education	31	\$12,574,952	32	\$18,138,522	37	\$27,665,966	33	\$20,025,954	35	\$11,160,926
School of Management	16	\$5,605,524	18	\$6,731,139	18	\$6,165,963	29	\$7,710,461	19	\$7,671,428
School of Nursing	11	\$1,747,502	4	\$1,518,759	16	\$2,324,192	13	\$2,708,106	10	\$6,887,471
Sch of Public Health & Health Sciences	96	\$44,057,985	85	\$45,408,516	88	\$53,488,002	108	\$64,878,235	142	\$72,469,049
Undergraduate Affairs	0	\$0	0	\$0	1	\$3,043,876	0	\$0	1	\$24,996
University Library	1	\$3,000	2	\$352,637	1	\$61,133	2	\$91,319	0	\$0
University Outreach	29	\$7,392,164	25	\$9,200,963	0	\$0	0	\$0	1	\$50,001
University Relations	0	\$0	0	\$0	3	\$351,762	4	\$323,834	1	\$324,716
VC Student Affairs	0	\$0	3	\$403,916	3	\$689,950	2	\$969,703	2	\$1,499,897
VCRE/Vice Chancellor for Research	46	\$19,776,342	53	\$19,391,952	46	\$16,060,077	50	\$44,975,520	43	\$16,721,089
Total	1,254	\$588,113,403	1,295	\$713,487,895	1,233	\$582,891,239	1,412	\$685,929,021	1,400	\$533,665,789

*Due to organizational changes in FY '10 the colleges of CFNR and CNSM 0 awards in FY '10 and CNS has no awards prior to FY '10

PROPOSALS

Table 3
New Proposals Submitted by Organizational Unit FY 2013

<u>Organizational Unit</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Proj Est</u>
Academic Administration					
Provost's Office	3	914,467	159,311	1,073,778	2,840,457
MBU Total FY 2013	3	\$914,467	\$159,311	\$1,073,778	\$2,840,457
MBU Total FY 2012	1	\$605,102	\$300,141	\$905,243	\$4,451,624
Academic Support					
Fine Arts Center	16	280,967	0	280,967	325,967
MBU Total FY 2013	16	\$280,967	\$0	\$280,967	\$325,967
MBU Total FY 2012	22	\$564,260	\$4,922	\$569,182	\$619,182
College of Engineering					
Chemical Engineering	59	6,202,107	2,213,684	8,415,791	30,822,098
Civil and Environmental Engineering	55	5,180,476	1,350,570	6,531,046	14,019,268
Dean - Engineering	5	274,004	24,686	298,690	986,014
Electrical and Computer Engineering	79	7,505,381	3,447,180	10,952,561	35,505,187
Engineering Research Center	10	1,479,912	529,408	2,009,320	4,693,468
Mechanical and Industrial Engineering	64	5,676,920	2,140,671	7,817,591	20,984,565
UMASS Transportation Center	9	1,925,378	494,331	2,419,709	2,849,230
MBU Total FY 2013	281	\$28,244,177	\$10,200,530	\$38,444,707	\$109,859,830
MBU Total FY 2012	269	\$35,467,474	\$11,586,598	\$47,054,072	\$139,427,981
College of Humanities & Fine Arts					
Classics	4	219,324	57,772	277,096	374,367
English	6	51,000	0	51,000	51,000
History	7	125,525	23,807	178,956	229,593
Judaic and Near Eastern Studies	1	7,310	0	7,310	7,310
Language, Literature and Culture	6	118,048	34,150	152,198	354,706
Linguistics	7	652,373	216,634	869,007	3,114,541
Philosophy	1	3,500	0	3,500	3,500
Women's Studies	2	65,250	0	65,250	65,250
MBU Total FY 2013	34	\$1,242,330	\$332,363	\$1,604,317	\$4,200,267
MBU Total FY 2012	33	\$1,544,049	\$564,903	\$2,108,953	\$5,607,295

PROPOSALS

Table 3 (cont'd)
New Proposals Submitted by Organizational Unit FY 2013

<u>Organizational Unit</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Proj Est</u>
College of Natural Sciences					
Agricultural Experiment Station	2	2,605,967	0	2,605,967	2,605,967
Astronomy	40	2,525,616	975,469	3,501,085	8,458,825
Biochemistry and Molecular Biology	23	3,063,320	1,314,191	4,377,511	18,507,973
Biology	58	5,143,191	2,056,291	7,199,482	22,346,156
CUMIRP/PSE	8	282,397	142,794	425,191	425,191
Center for Agriculture	4	1,015,400	10,317	1,025,717	1,025,717
Chemistry	62	7,500,903	3,435,297	10,936,200	38,934,122
Computer Science	91	10,526,931	4,495,596	15,022,527	42,761,320
Cranberry Station - Extension	18	239,987	61,019	301,006	412,384
Environmental Conservation	61	3,632,518	673,732	4,306,250	7,440,752
Food Science	50	4,382,736	1,325,424	5,708,160	16,080,166
Geosciences	43	2,578,888	957,764	3,536,652	9,625,365
Mathematics and Statistics	22	1,583,304	725,133	2,308,437	8,155,169
Microbiology	39	4,255,025	1,676,245	5,931,270	18,652,765
Physics	31	4,032,571	1,177,035	5,209,606	16,662,548
Polymer Science and Engineering	34	3,986,319	1,372,157	5,592,000	16,352,666
Psychology	30	4,107,480	1,429,890	5,537,370	20,469,864
Scientific Reasoning Res Inst	3	108,267	63,877	172,144	570,642
Stockbridge School	45	7,607,293	279,930	7,887,223	10,539,243
UMASS Extension	17	808,650	169,430	978,080	2,062,964
Veterinary and Animal Sciences	43	5,538,042	1,901,630	7,439,672	25,514,563
MBU Total FY 2013	724	\$75,524,805	\$24,243,221	\$100,001,550	\$287,604,361
MBU Total FY 2012	747	\$97,423,434	\$32,443,761	\$129,882,695	\$376,017,384
College of Social & Behavioral Sciences					
Anthropology	11	322,083	62,790	384,873	575,728
Anthropology - Archaeological Services	16	349,033	109,617	458,650	458,650
Communication	1	41,064	24,228	65,292	131,827
Economics	2	58,327	1,583	59,910	59,910
Landscape Arch and Regional Planning	7	546,728	245,030	791,758	2,444,684
Political Science	9	354,774	50,496	405,270	609,812
Public Policy	2	80,369	23,287	103,656	350,611
Resource Economics	6	282,415	100,871	383,286	1,102,642
Sociology	10	404,033	139,101	543,134	1,056,375
MBU Total FY 2013	64	\$2,438,826	\$757,003	\$3,195,829	\$6,790,239
MBU Total FY 2012	78	\$4,294,870	\$1,307,415	\$5,602,285	\$10,123,677

PROPOSALS

Table 3 (cont'd)
New Proposals Submitted by Organizational Unit FY 2013

<u>Organizational Unit</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Proj Est</u>
Dean of Students					
Dean of Students	1	149,789	49,465	199,254	625,246
Disability Services	2	91,259	7,826	99,085	120,000
Everywoman's Center	3	171,855	0	171,855	355,734
Health Education	1	2,000	500	2,500	2,500
MBU Total FY 2013	7	\$414,903	\$57,791	\$472,694	\$1,103,480
MBU Total FY 2012	7	\$456,861	\$16,833	\$473,694	\$648,278
Environmental Health & Safety					
Environmental Health and Safety	2	179,250	0	179,250	179,250
MBU Total FY 2013	2	\$179,250	\$0	\$179,250	\$179,250
MBU Total FY 2012	1	\$174,999	\$58,333	\$233,332	\$233,332
Graduate School					
Dean's Office	1	2,000	0	2,000	2,000
NEAGEP/STEM	2	258,963	77,953	336,916	1,451,722
MBU Total FY 2013	3	\$260,963	\$77,953	\$338,916	\$1,453,722
MBU Total FY 2012	3	\$571,812	\$163,146	\$734,958	\$3,122,528
Human Resources					
Human Resources	9	798,475	174,548	973,023	1,333,755
MBU Total FY 2013	9	\$798,475	\$174,548	\$973,023	\$1,333,755
MBU Total FY 2012	2	\$67,834	\$6,136	\$73,970	\$73,970
Office of Information Technologies					
C I O	2	180,515	101,419	281,934	761,288
MBU Total FY 2013	2	\$180,515	\$101,419	\$281,934	\$761,288
MBU Total FY 2012	2	\$158,118	\$82,745	\$240,863	\$424,923
Physical Plant					
Utilities Engineering	1	387,000	0	387,000	387,000
MBU Total FY 2013	1	\$387,000	\$0	\$387,000	\$387,000

PROPOSALS

Table 3 (cont'd)
New Proposals Submitted by Organizational Unit FY 2013

<u>Organizational Unit</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Proj Est</u>
Rsrch Liaison & Tech Transfer					
Research Liaison Development	2	16,600	0	16,600	16,600
MBU Total FY 2013	2	\$16,600	\$0	\$16,600	\$16,600
School of Education					
Educational Policy Research and Admin	22	1,959,162	471,381	2,430,543	5,475,734
Student Dev and Pupil Personel Services	8	826,060	169,346	995,406	3,344,421
Teacher Ed and Curriculum Studies	5	536,474	270,772	807,246	2,340,771
MBU Total FY 2013	35	\$3,321,696	\$911,499	\$4,233,195	\$11,160,926
MBU Total FY 2012	33	\$4,859,507	\$1,181,181	\$6,040,688	\$20,025,954
School of Management					
Accounting and Information Systems	4	55,517	0	55,517	55,517
Finance and Operations Management	4	233,144	41,609	274,753	653,896
Hospitality and Tourism Managmnt	1	52,590	0	52,590	52,590
MA Small Business Dev Ctr	8	6,797,199	33,331	6,830,530	6,884,325
Resource Economics	1	7,100	0	7,100	7,100
Sport Management	1	11,321	6,679	18,000	18,000
MBU Total FY 2013	19	\$7,156,871	\$81,619	\$7,238,490	\$7,671,428
MBU Total FY 2012	29	\$7,148,213	\$189,562	\$7,337,775	\$7,710,461
School of Nursing					
Nursing	10	2,906,987	195,601	3,102,588	6,887,471
MBU Total FY 2013	10	\$2,906,987	\$195,601	\$3,102,588	\$6,887,471
MBU Total FY 2012	13	\$1,486,198	\$153,500	\$1,639,698	\$2,708,106
School of Public Health & Health Sciences					
Communications Disorders	5	446,792	33,136	479,928	1,712,292
Dean Health Sciences	2	25,400	14,986	40,386	141,197
Kinesiology	25	2,334,682	1,018,943	3,353,625	10,659,105
Nutrition	26	6,120,642	1,429,363	7,550,005	10,295,526
Public Health	84	11,561,560	3,238,534	14,800,094	49,660,929
MBU Total FY 2013	142	\$20,489,076	\$5,734,962	\$26,224,038	\$72,469,049
MBU Total FY 2012	108	\$16,202,737	\$5,049,432	\$21,252,169	\$64,878,235

PROPOSALS

Table 3 (cont'd)
New Proposals Submitted by Organizational Unit FY 2013

<u>Organizational Unit</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Proj Est</u>
Undergraduate Affairs					
University Without Walls	1	20,830	4,166	24,996	24,996
MBU Total FY 2013	1	\$20,830	\$4,166	\$24,996	\$24,996
University Outreach					
C.E. - Career Renewal	1	41,667	8,334	50,001	50,001
MBU Total FY 2013	1	\$41,667	\$8,334	\$50,001	\$50,001
University Relations					
WFCR	1	324,716	0	324,716	324,716
MBU Total FY 2013	1	\$324,716	\$0	\$324,716	\$324,716
MBU Total FY 2012	4	\$169,767	\$4,782	\$174,549	\$323,834
VC for Student Affairs					
VC Student Affairs Office	2	462,872	37,029	499,901	1,499,897
MBU Total FY 2013	2	\$462,872	\$37,029	\$499,901	\$1,499,897
MBU Total FY 2012	2	\$455,167	\$14,620	\$469,787	\$969,703
VC for Research & Engagement					
C&I/Baystate/UM PVLSI	9	1,849,394	441,754	2,291,148	9,043,415
Mass Nanotech	6	1,186,041	381,021	1,567,062	7,053,829
UMass Innovation Institute	4	221,750	10,411	232,161	299,841
University Press	16	57,518	0	57,518	57,518
VC for Research & Engagement	1	8,409	2,186	10,595	10,595
Water Resources and Research Ctr	7	244,639	11,252	255,891	255,891
MBU Total FY 2013	43	\$3,567,751	\$846,624	\$4,414,375	\$16,721,089
MBU Total FY 2012	50	\$5,539,466	\$1,247,105	\$6,786,571	\$44,975,520
Cumulative Total FY 13	1,402	\$149,175,743	\$43,923,973	\$193,362,864	\$533,665,789
Cumulative Total FY 12	1,412	\$178,764,521	\$54,466,139	\$233,246,161	\$685,929,021
Cumulative Total FY 11	1,234	\$159,731,928	\$46,791,828	\$206,330,919	\$582,619,469
% Change FY 2012 to FY 2013	-1%	-17%	-19%	-17%	-22%
% Change FY 2011 to FY 2013	14%	-7%	-6%	-6%	-8%

PROPOSALS

Table 4
5 Year New Proposal Trend by Sponsor Category
W/Total Project Dollars

Sponsor Category	FY 2009		FY 2010		FY 2011		FY 2012		FY 2013	
	#	Dollars	#	Dollars	#	Dollars	#	Dollars	#	Dollars
Federal	625	\$477,302,028	704	\$584,818,477	624	\$460,617,716	727	\$542,818,698	691	\$406,801,912
Commonwealth of MA	73	\$15,187,166	71	\$10,936,615	63	\$11,079,750	62	16,295,923	66	\$24,708,704
Other States & Local Gov'ts	19	\$2,040,711	13	\$1,392,893	14	\$4,779,770	15	\$919,795	20	\$1,382,206
Non-Profit	434	\$79,106,164	384	\$99,347,082	413	\$79,414,950	470	\$100,435,652	490	85,981,664
Industry	103	\$14,477,334	123	\$16,992,828	119	\$26,999,053	138	25,458,952	135	14,791,302
Total	1,254	\$588,113,403	1,295	\$713,487,895	1,233	\$582,891,239	1,412	\$685,929,020	1,402	\$533,665,789

PROPOSALS

Table 5
New Proposals Submitted by Federal Sponsor FY 2013

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
US Dept of Agriculture					
Agricultural Research Service (USDA - ARS)	2	20,829	6,777	27,606	48,617
Forest Service (USFS)	6	423,010	0	423,010	613,398
Nat'l Institute of Food and Agriculture (NIFA)	43	7,542,010	1,290,964	8,832,974	20,915,299
Natural Resources Conserv Services(NRCS)	1	109,091	10,909	120,000	120,000
Northeast SARE	6	165,543	17,420	182,963	313,564
US Dept of Agriculture (USDA)	13	6,832,997	155,870	6,988,867	7,722,200
Total	71	\$15,093,480	\$1,481,940	\$16,575,420	\$29,733,078
US Dept of Commerce					
Nat'l Oceanic and Atmospheric Admin (NOAA)	6	612,385	205,919	818,304	893,110
Total	6	\$612,385	\$205,919	\$818,304	\$893,110
US Dept of Defense					
Air Force	1	63,785	34,567	98,352	199,953
Air Force Office of Scientific Research (AFOSR)	5	868,461	288,110	1,156,571	2,770,951
Air Force Research Laboratory	1	284,687	157,991	442,678	2,053,436
Army	1	41,435	3,315	44,750	44,750
Army Corps of Engineers	2	79,035	0	79,035	159,813
Army Natick Soldier R D and E Center	3	258,563	91,757	350,320	700,460
Army Research Office (ARO)	3	200,271	104,484	304,755	1,101,101
Defense Advanced Research Proj Agency (DARPA)	3	500,732	245,674	746,406	2,270,018
Defense Logistics Agency	1	273,691	13,395	287,086	287,086
National Security Agency (NSA)	1	29,843	17,608	47,451	89,605
Naval Research Laboratory	1	66,966	34,422	101,388	314,698
Office of Naval Research (ONR)	5	451,058	221,196	672,254	3,606,109
US Dept of Defense (DOD)	11	1,996,863	933,722	2,930,585	8,048,759
Total	38	\$5,115,390	\$2,146,241	\$7,261,631	\$21,646,739
US Dept of Education					
Institute of Education Sciences	2	212,415	71,791	284,206	799,423
US Dept of Education (DOED)	5	1,076,205	119,137	1,195,342	4,586,669
Total	7	\$1,288,620	\$190,928	\$1,479,548	\$5,386,092
US Dept of Energy					
US Dept of Energy (DOE)	15	2,693,041	1,247,578	3,940,619	13,402,952
Total	15	\$2,693,041	\$1,247,578	\$3,940,619	\$13,402,952

PROPOSALS

Table 5 (cont'd)

New Proposals Submitted by Federal Sponsor FY 2013

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
US Dept of Health and Human Services					
Food and Drug Administration (FDA)	2	99,244	0	99,244	99,244
Health Resources and Services Admin (HRSA)	5	2,338,893	77,522	2,416,415	4,658,517
National Institutes of Health (NIH)	129	26,910,202	11,071,129	37,981,331	148,007,328
Substance Abuse and Mental Health Serv	2	432,116	72,053	504,169	1,558,631
Total	138	\$29,780,455	\$11,220,704	\$41,001,159	\$154,323,720
US Dept of Homeland Security					
Federal Emergency Management Agency (FEMA)	1	113,232	0	113,232	324,835
US Dept of Homeland Security	1	389,307	118,402	507,709	973,887
Total	2	\$502,539	\$118,402	\$620,941	\$1,298,722
US Dept of Interior					
Geological Survey (USGS)	14	741,949	150,273	892,222	1,189,445
National Park Service	2	42,640	15,080	87,344	137,981
National Park Service-No. Atlantic Reg.	1	117,943	17,057	135,000	135,000
US Dept of Interior (DOI)	1	145,029	42,185	187,214	187,214
US Fish and Wildlife Service (FWS)	5	158,235	39,384	197,619	197,619
Total	23	\$1,205,796	\$263,979	\$1,499,399	\$1,847,259
US Dept of Justice					
Federal Bureau of Investigation (FBI)	1	254,903	134,581	389,484	389,484
National Inst of Justice (NIJ)	1	17,640	0	17,640	24,990
US Dept of Justice (DOJ)	1	86,027	0	86,027	269,906
Total	3	\$358,570	\$134,581	\$493,151	\$684,380
US Dept of Transportation					
Federal Highway Administration (FHA)	1	5,000	0	5,000	5,000
Federal Motor Carrier Safety Admin	1	150,495	82,243	232,738	299,782
Federal Transit Administration	1	50,749	24,857	75,606	96,064
US Dept of Transportation (DOT)	2	1,450,398	299,605	1,750,003	1,750,003
Total	5	\$1,656,642	\$406,705	\$2,063,347	\$2,150,849

PROPOSALS

Table 5 (cont'd)

New Proposals Submitted by Federal Sponsor FY 2013

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
Independent Establishments & Govt Corps					
Agency for International Development (AID)	4	982,173	221,685	1,203,858	5,746,379
Environmental Protection Agency (EPA)	6	456,573	178,224	634,797	1,225,262
National Aero and Space Administration (NASA)	19	1,513,268	620,022	2,133,290	5,928,696
National Endowment for the Arts (NEA)	1	38,919	13,232	52,151	52,151
National Endowment for the Humanities (NEH)	3	111,924	57,772	169,696	266,967
Small Business Administration (SBA)	2	4,278,576	0	4,278,576	4,278,576
US Institute of Peace	1	1,818	182	2,000	2,000
US Securities and Exchange Commission (SEC)	1	109,840	0	109,840	109,840
Vietnam Education Foundation	1	47,234	0	47,234	47,234
Total	38	\$7,540,325	\$1,091,117	\$8,631,442	\$17,657,105
National Science Foundation					
National Science Foundation (NSF)	342	35,727,324	14,633,739	50,594,587	157,517,900
Total	342	\$35,727,324	\$14,633,739	\$50,594,587	\$157,517,900
Other/Quasi Government Agencies					
Department of Veterans Affairs (VA)	1	21,879	12,909	34,788	34,788
Smithsonian Astrophysical Observatory	1	52,983	26,419	79,402	79,402
UN Educational, Scientific & Cultural Organization	1	134,667	11,150	145,817	145,817
Total	3	\$209,529	\$50,478	\$260,007	\$260,007
Total FY 2013 - Federal	691	\$101,784,096	\$33,192,311	\$135,239,555	\$406,801,912
Total FY 2012 - Federal	727	\$129,883,813	\$41,623,986	\$171,523,300	\$542,818,696
Total FY 2011 - Federal	624	\$115,145,074	\$35,824,749	\$150,836,895	\$460,617,716
% Change FY 2012 to FY 2013	-5%	-22%	-20%	-21%	-25%
% Change FY 2011 to FY 2013	11%	-12%	-7%	-10%	-12%

PROPOSALS

Table 5 (cont'd)

New Proposals Submitted by Sponsor FY 2013

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
Commonwealth of Massachusetts					
MA Clean Energy Center	7	517,496	118,325	635,821	845,000
MA Cultural Council	3	9,000	0	9,000	9,000
MA Department of Energy Resources	1	387,000	0	387,000	387,000
MA Dept of Agricultural Resources	9	304,895	50,893	355,788	434,896
MA Dept of Conservation and Recreation	6	200,557	51,577	252,134	546,240
MA Dept of Education	1	182,738	47,537	230,275	230,275
MA Dept of Elementary & Secondary Ed	8	741,849	165,415	907,264	1,214,408
MA Dept of Environmental Protection	3	134,561	17,265	151,826	225,532
MA Dept of Fish and Game	1	1,999	520	2,519	2,519
MA Dept of Fisheries, Wildlife, Envr Law	1	5,000	0	5,000	5,000
MA Dept of Higher Education	1	35,773	4,364	40,137	40,137
MA Dept of Public Health (DPH)	1	46,034	11,970	58,004	196,637
MA Dept of Transitional Assistance	6	4,590,885	1,035,241	5,626,126	5,626,126
MA Dept of Transportation	1	95,842	22,690	118,532	239,721
MA Division of Fisheries and Wildlife (DFW)	2	221,894	15,380	237,274	368,720
MA Division of Marine Fisheries	2	247,174	40,927	288,101	288,101
MA Environmental Trust	1	37,083	0	37,083	37,083
MA Exec Off of Public Safety & Security	5	405,946	57,357	463,303	463,303
MA Gaming Commission	1	2,614,627	176,422	2,791,049	10,977,931
MA Life Sciences Center	1	80,191	20,850	101,041	202,084
MA Office for Victim Assistance	1	52,828	0	52,828	52,828
MA Office of Business Development	3	2,199,048	9,524	2,208,572	2,208,572
MA Technology Collaborative	1	43,384	10,412	53,796	107,591
Total FY 2013 - Commonwealth of MA	66	\$13,155,804	\$1,856,669	\$15,012,473	\$24,708,704
Total FY 2012 - Commonwealth of MA	62	\$10,461,206	\$1,880,927	\$12,342,133	\$16,295,923
Total FY 2011 - Commonwealth of MA	63	\$7,465,082	\$1,193,689	\$8,636,108	\$11,079,750
% Change FY 2012 to FY 2013	6%	26%	-1%	22%	52%
% Change FY 2011 to FY 2013	5%	76%	56%	74%	123%

PROPOSALS

Table 5 (cont'd)

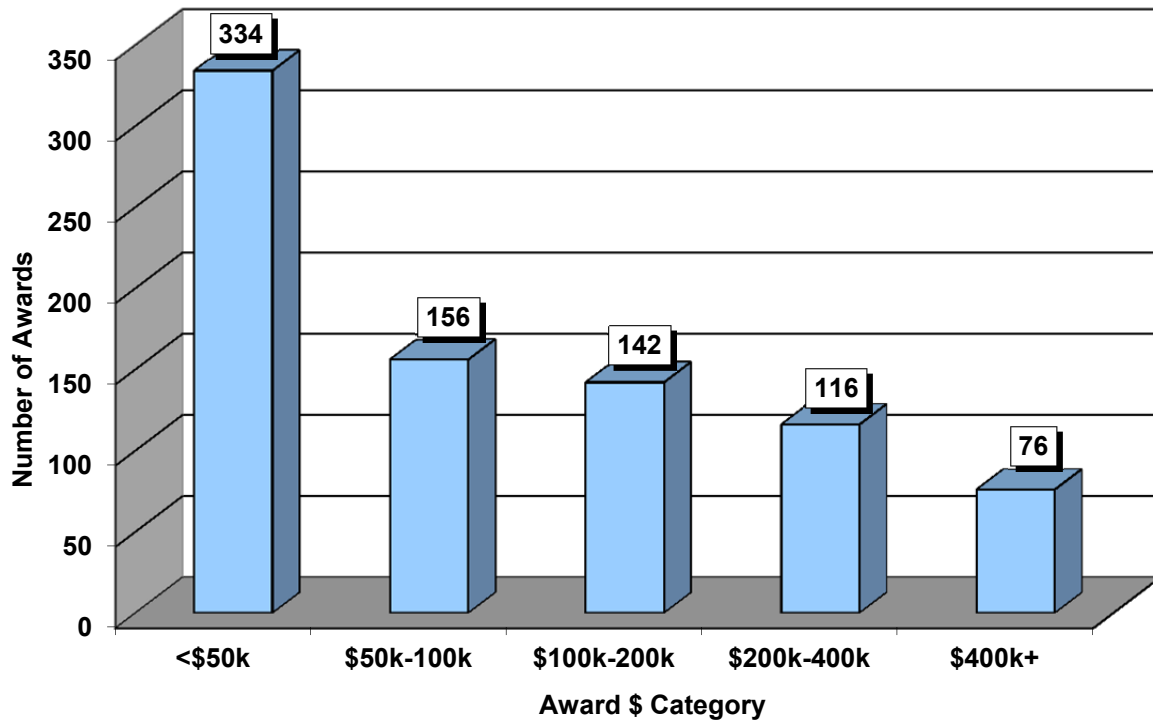
New Proposals Submitted by Sponsor FY 2013

<u>Sponsor</u>	<u>Props</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>	<u>Project Est</u>
Other States and Local Governments					
Amherst-Pelham Regional Schools	1	55,165	12,742	67,907	67,907
CT Agricultural Experiment Station	1	52,135	25,675	77,810	154,724
City of Fort Worth	1	135,250	14,750	150,000	150,000
City of Philadelphia	2	99,960	49,875	149,835	149,835
Kingston Town of	1	28,109	6,770	34,879	34,879
NH Dept of Resources & Economic Dev	1	20,003	10,279	30,282	30,282
New England Transportation Consortium	1	54,243	14,206	68,449	164,976
Norwood Town of	1	26,597	6,812	33,409	33,409
Pioneer Valley Planning Commission	3	141,275	62,096	203,371	357,825
Pueblo Economic Development Corporation	1	59,524	15,476	75,000	75,000
Randolph Public Schools	1	29,967	2,999	32,966	32,966
Springfield City of	1	9,090	910	10,000	10,000
Springfield Water and Sewer Commission	5	97,430	22,974	120,404	120,404
Total FY 2013 - Other States & Local Gov't	20	\$808,748	\$245,564	\$1,054,312	\$1,382,206
Total FY 2012 - Other States & Local Gov't	15	\$630,462	\$130,602	\$761,064	\$919,795
Total FY 2011 - Other States & Local Gov't	14	\$1,432,330	\$321,581	\$1,753,911	\$4,779,770
% Change FY 2012 to FY 2013	33%	28%	88%	39%	50%
% Change FY 2011 to FY 2013	43%	-44%	-24%	-40%	-71%
Private Sector					
Non - Profit					
Foundations	134	9,670,509	737,510	10,408,019	23,583,800
Health Agencies	34	762,420	240,178	1,002,598	3,230,632
Institutes and Associations	123	6,796,173	1,186,630	7,982,803	18,303,172
Other Colleges and Universities	179	8,948,014	3,954,509	12,902,523	38,200,721
Other Sponsors	20	1,047,120	173,707	1,220,827	2,663,339
Total FY 2013 -- Non-Profit	490	\$27,224,237	\$6,292,534	\$33,516,771	\$85,981,664
Total FY 2012 -- Non-Profit	470	28,338,914	7,200,839	35,539,753	100,435,652
Total FY 2011 -- Non-Profit	413	26,935,009	5,957,946	32,855,709	79,414,950
% Change FY 2012 to FY 2013	4%	-4%	-13%	-6%	-14%
% Change FY 2011 to FY 2013	19%	1%	6%	2%	8%
Total FY 2013-- Industry	135	\$6,202,858	\$2,336,895	\$8,539,753	\$14,791,302
Total FY 2012-- Industry	138	9,450,126	3,629,785	13,079,911	25,458,952
Total FY 2011-- Industry	119	8,989,852	3,530,214	12,520,066	26,999,053
% Change FY 2012 to FY 2013	-2%	-34%	-36%	-35%	-42%
% Change FY 2011 to FY 2013	13%	-31%	-34%	-32%	-45%
Total FY 2013 -- Private Sector	625	\$33,427,095	\$8,629,429	\$42,056,524	\$100,772,966
Total FY 2012 -- Private Sector	608	\$37,789,040	\$10,830,624	\$48,619,664	125,894,604
Total FY 2011 -- Private Sector	532	35,924,861	9,488,160	45,375,775	106,414,003
% Change FY 2012 to FY 2013	3%	-12%	-20%	-13%	-20%
% Change FY 2011 to FY 2013	17%	-7%	-9%	-7%	-5%

AWARDS

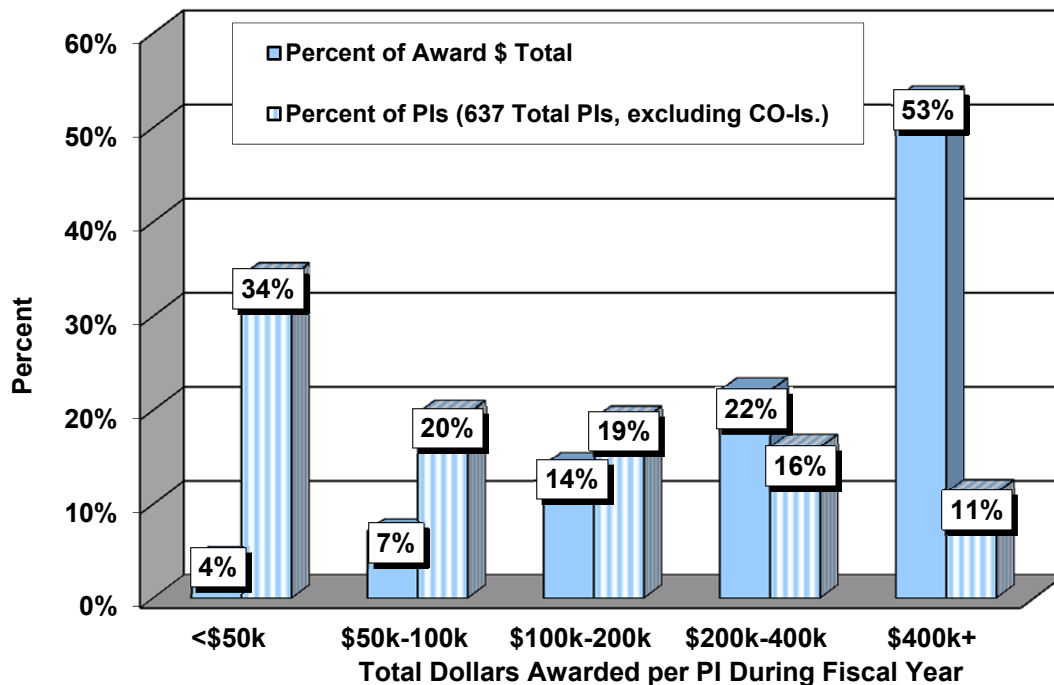
AWARD DISTRIBUTION ANALYSIS

Figure 3: Distribution of Awards by Dollar Category FY 2013*



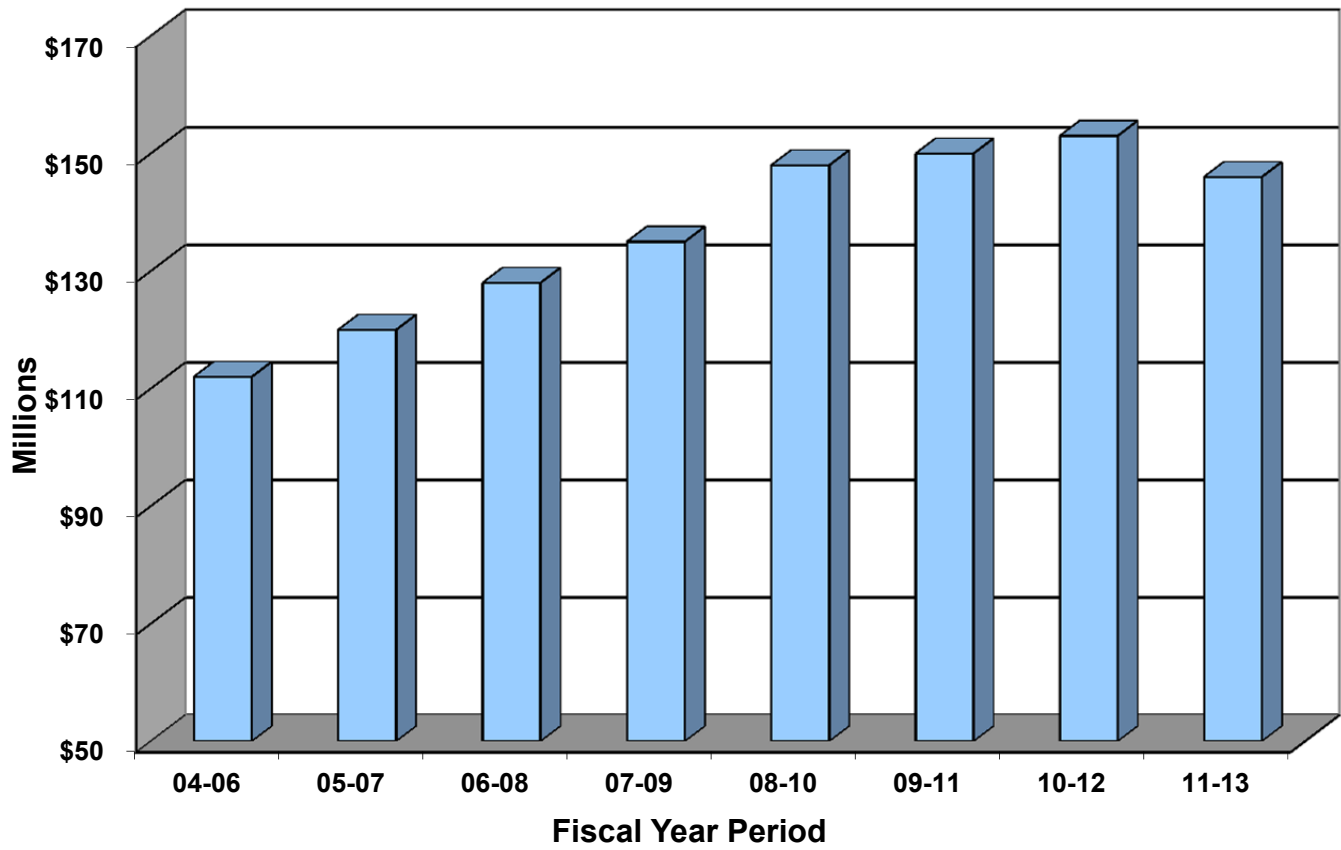
* 2 or more FY 2013 awards in the same project were grouped together, therefore the total number shown here is less than the total

Figure 4: Distribution of Award Dollars to PIs FY 2013



AWARDS

Figure 5: Award Dollars - Three-Year Rolling Averages FY 2004-2013



AWARDS

Figure 6: Distribution of Award Numbers by Award Type FY 2013
Total Awards - 1043

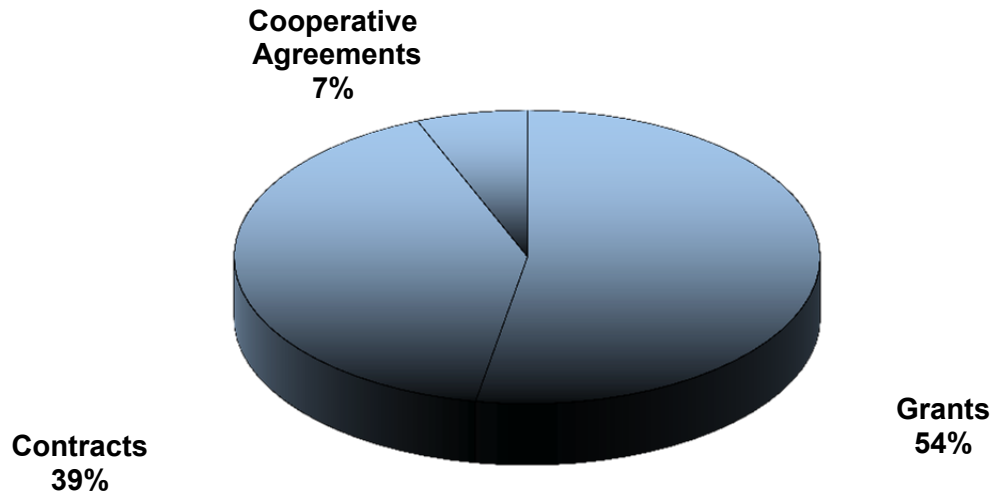
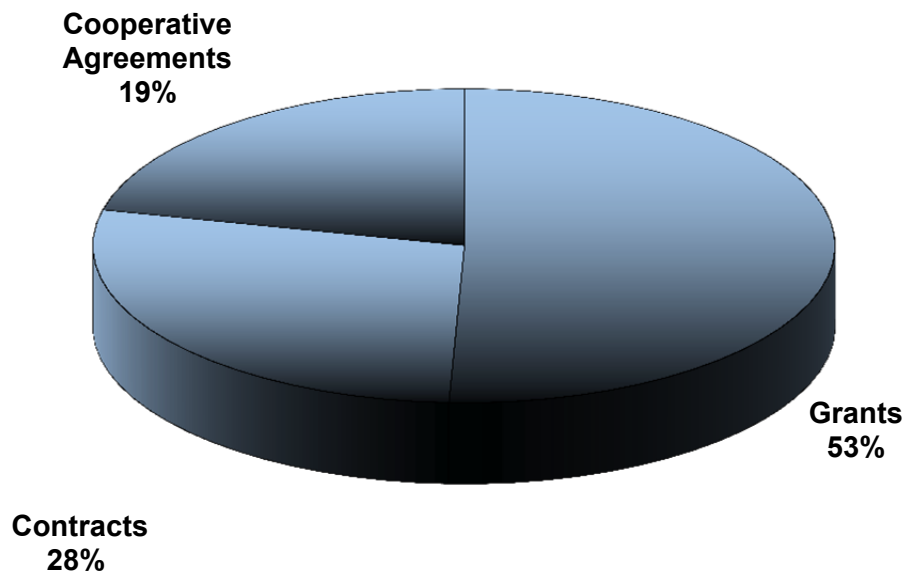


Figure 7: Distribution of Award Dollars by Award Type Total Costs, FY 2013
\$148,879,759



AWARDS

TEN YEAR SUMMARY

Figure 8: Indirect, Direct & Total Dollar Value of Awards FY 2004 - 2013

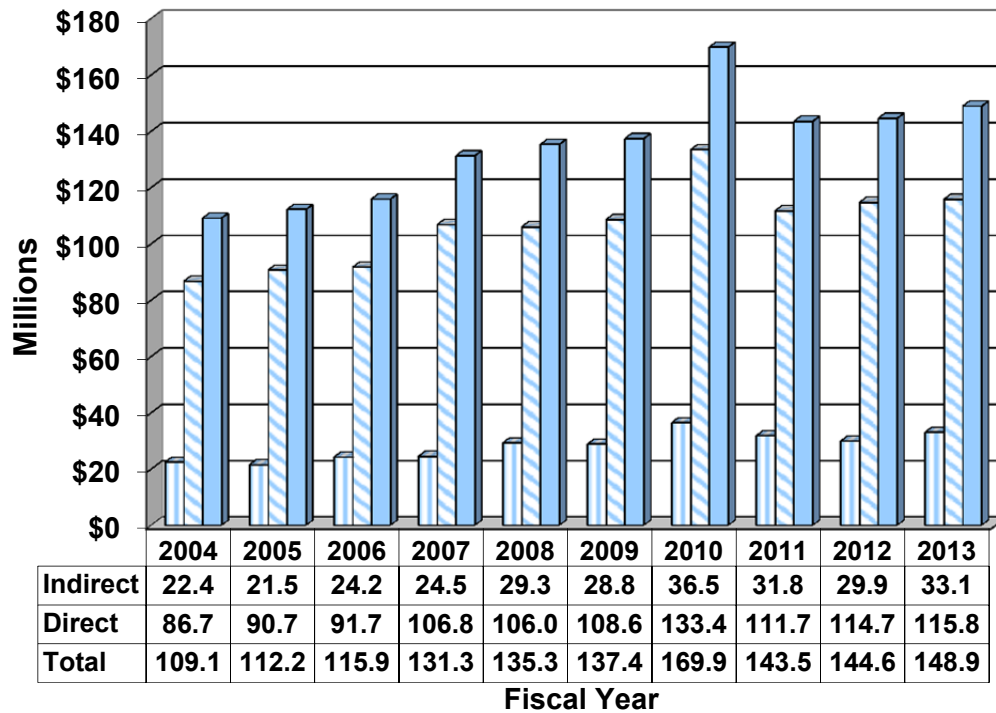
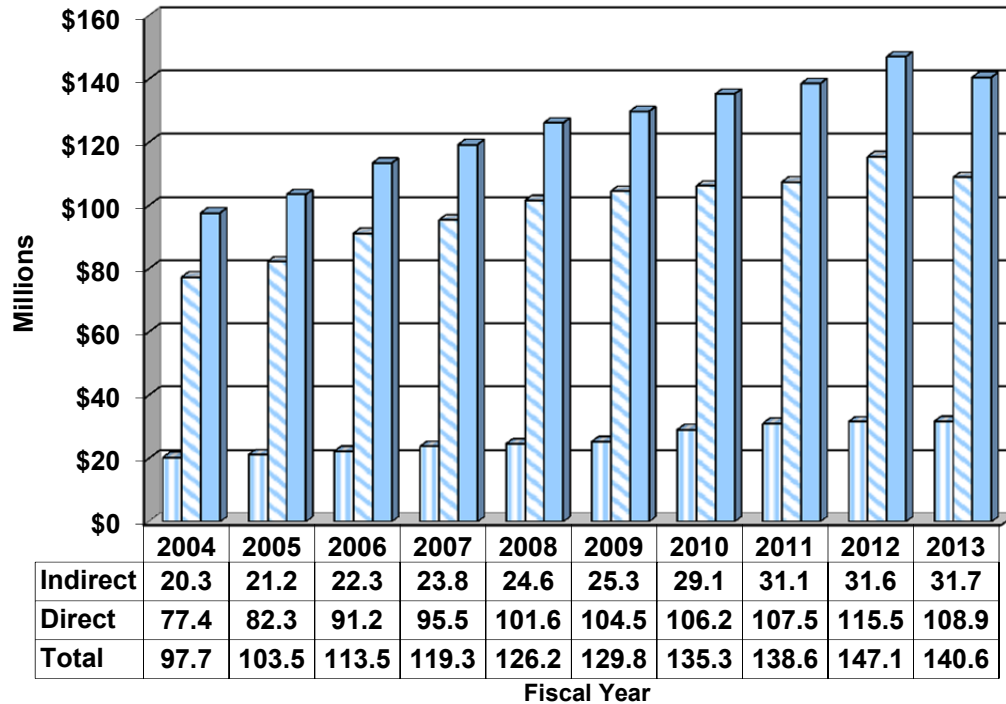


Figure 9: Indirect, Direct & Total \$ Expenditures FY 2004 - 2013

Data obtained from the Budget Office



AWARDS

Table 6

5 Year Award Trend by Major Budgetary Unit (MBU)

MBU	FY 2009		FY 2010		FY 2011		FY 2012		FY 2013	
	#	Dollars	#	Dollars	#	Dollars	#	Dollars	#	Dollars
Academic Administration	2	\$1,554,935	4	\$2,075,583	4	\$2,989,370	0	\$0	0	\$0
Academic Affairs	0	\$0	0	\$0	0	\$0	1	\$499,329	3	\$2,046,614
Academic Support	22	\$394,450	18	\$162,170	11	\$447,630	0	\$0	0	\$0
Academic Support Services	1	\$35,000	1	\$24,100	0	\$0	14	\$167,650	12	\$206,294
Center for Student Development	3	\$26,485	1	\$12,500	1	\$13,000	0	\$0	0	\$0
Chancellor's Exec Area Admin	0	\$0	0	\$0	0	\$0	0	\$0	1	\$867,040
College of Engineering	185	\$30,547,906	191	\$29,333,046	170	\$22,469,630	151	\$26,505,519	192	\$24,653,848
College of Humanities & Fine Arts	22	\$627,887	20	\$555,773	17	\$340,433	18	\$298,929	25	\$988,941
College Nat. Resources & The Environment*	247	\$21,336,203	0	\$0	0	\$0	0	\$0	0	\$0
College of Natural Sciences	0	\$0	668	\$103,313,726	615	\$75,121,260	583	\$90,910,680	579	\$73,804,088
College of Natural Sciences and Math*	353	\$54,513,667	0	\$0	0	\$0	0	\$0	0	\$0
College of Social & Behavioral Sciences	86	\$6,837,637	45	\$1,993,401	49	\$3,270,082	35	\$2,026,560	34	\$2,201,831
Commonwealth College	0	\$0	1	\$89,393	2	\$183,517	0	\$0	0	\$0
Dean of Students	5	\$80,708	9	\$294,775	7	\$408,903	6	\$317,255	10	\$636,180
Environmental Health & safety	4	\$40,350	2	\$87,601	1	\$143,400	0	\$0	3	\$354,250
Facilities Planning	0	\$0	1	\$1,849,715	0	\$0	2	\$2,071,284	1	\$387,000
Graduate School	6	\$1,044,898	4	\$537,159	5	\$1,771,040	6	\$793,530	5	\$1,239,780
Health Services	2	\$273,588	1	\$100,000	2	\$200,000	0	\$0	0	\$0
Human Resources	6	\$195,052	6	\$381,961	3	\$634,153	1	\$5,200	7	\$756,852
Information Technologies	1	\$32,607	1	\$31,466	3	\$451,231	1	\$320,000	2	\$424,904
Physical Plant	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
Polymer Science	0	\$0	0	\$0	35	\$2,076,072	0	\$0	0	\$0
Public Safety	0	\$0	0	\$0	0	\$0	0	\$0	0	\$0
Rsrch Liason & Tech Transfer	0	\$0	1	\$1,000	0	\$0	0	\$0	0	\$0
School of Education	31	\$3,153,953	35	\$7,964,580	22	\$10,668,828	24	\$4,834,426	22	\$13,257,293
School of Management	10	\$3,695,479	12	\$4,358,935	19	\$5,517,616	30	\$4,300,539	29	\$4,222,931
School of Nursing	8	\$716,379	1	\$25,000	4	\$57,094	9	\$298,250	6	\$900,487
School of Public Health & Health Sciences	72	\$8,147,307	55	\$9,260,552	72	\$10,103,823	51	\$9,306,397	67	\$16,164,526
Student Affairs	0	\$0	0	\$0	0	\$0	0	\$0	2	\$260,968
Undergrate Affairs	0	\$0	0	\$0	1	\$1,500	1	\$1,500	1	\$1,500
University Relations	0	\$0	0	\$0	5	\$358,182	4	\$430,069	3	\$339,108
University Library	2	\$203,000	1	\$314,787	0	\$0	1	\$42,950	1	\$48,368
University Outreach	29	\$1,058,716	23	\$850,710	0	\$0	0	\$0	0	\$0
VCRE/VC for Research & Engagement	43	\$2,887,938	33	\$6,375,575	35	\$6,301,284	29	\$1,499,203	38	\$5,116,759
Total	1,140	\$137,404,145	1,134	\$169,993,508	1,083	\$143,528,048	967	\$144,629,270	1,043	\$148,879,562

*Due to organizational changes in FY '10 the colleges of CFNR and CNSM 0 awards in FY '10 and CNS has no awards prior to FY '10

AWARDS

Table 7

Awards Accepted by Organizational Unit FY 2013

<u>Organizational Unit</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Academic Affairs				
Academic Planning & Assessment	1	59,609	0	59,609
Provost's Office	2	1,878,094	108,911	1,987,005
MBU Total FY 2013	3	\$1,937,703	\$108,911	\$2,046,614
MBU Total FY 2012	1	\$449,354	\$49,975	\$499,329
Academic Support Services				
Fine Arts Center	12	206,294	0	206,294
MBU Total FY 2013	12	\$206,294	\$0	\$206,294
MBU Total FY 2012	14	\$167,650	\$0	\$167,650
Administration and Finance				
Environmental Health & Safety	3	354,250	0	354,250
MBU Total FY 2013	3	\$354,250	\$0	\$354,250
Chancellor's Exec Area Admin				
Chancellor's Exec Area Admin	1	867,040	0	867,040
MBU Total FY 2013	1	\$867,040	\$0	\$867,040
College of Engineering				
Chemical Engineering	26	2,229,115	940,417	3,169,532
Civil & Environmental Engineering	33	3,120,896	1,006,312	4,127,208
Electrical and Computer Engineering	53	4,718,330	1,633,775	6,352,105
Engineering Research Center	15	2,697,149	687,322	3,384,471
Mechanical and Industrial Engineering	48	4,144,410	1,074,304	5,218,714
UMASS Transportation Center	17	1,815,725	586,093	2,401,818
MBU Total FY 2013	192	\$18,725,625	\$5,928,223	\$24,653,848
MBU Total FY 2012	151	\$20,525,817	\$5,979,702	\$26,505,519

AWARDS

Table 7 (cont'd)

Awards Accepted by Organizational Unit FY 2013

<u>Organizational Unit</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
College of Humanities & Fine Arts				
Classics	3	158,252	21,741	179,993
English	5	87,364	3,636	91,000
History	5	140,902	18,898	159,800
Judaic and Near Eastern Studies	1	7,310	0	7,310
Language, Literature & Culture	4	36,628	1,667	38,295
Linguistics	5	349,633	99,410	449,043
Philosophy	1	3,500	0	3,500
Women's Studies	1	60,000	0	60,000
MBU Total FY 2013	25	\$843,589	\$145,352	\$988,941
MBU Total FY 2012	18	\$289,204	\$9,725	\$298,929
College of Natural Sciences				
Dean - College of Natural Sciences	1	87,550	0	87,550
Agricultural Experiment Station	3	1,267,917	0	1,267,917
Astronomy	27	1,284,555	531,898	1,816,453
Biochemistry and Molecular Biology	16	2,071,523	1,054,566	3,126,089
Biology	31	3,782,888	1,365,205	5,148,093
Center for Agriculture	3	43,183	10,317	53,500
Chemistry	33	3,175,634	1,388,791	4,564,425
Computer Science	93	12,383,410	5,306,460	17,689,870
Cranberry Station - Extension	22	740,086	70,260	810,346
CUMIRP/PSE	33	1,065,283	559,720	1,625,003
Environmental Conservation	56	4,232,228	761,460	4,993,688
Food Science	19	722,306	143,063	865,369
Geosciences	17	1,555,117	695,131	2,250,248
Mathematics and Statistics	10	529,891	238,124	768,015
Microbiology	13	1,176,192	479,094	1,655,286
Physics	35	6,748,719	1,971,444	8,720,163
Polymer Science and Engineering	39	7,116,647	2,696,022	9,812,669
Psychology	20	1,719,391	869,489	2,588,880
Scientific Reasoning Research Institute	1	221,967	120,738	342,705
Stockbridge School	55	843,082	113,491	956,573
UMASS Extension	21	1,313,525	128,536	1,442,061
Veterinary and Animal Sciences	31	2,724,374	494,811	3,219,185
MBU Total FY 2013	579	\$54,805,468	\$18,998,620	\$73,804,088
MBU Total FY 2012	583	\$70,558,623	\$20,352,057	\$90,910,680

AWARDS

Table 7 (cont'd)

Awards Accepted by Organizational Unit FY 2013

<u>Organizational Unit</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
College of Social & Behavioral Sciences				
Anthropology	5	190,535	37,229	227,764
Anthropology - Archaeological Services	14	1,032,615	296,144	1,328,759
Economics	3	64,697	1,584	66,281
Landscape Arch & Regional Planning	1	9,090	910	10,000
Political Science	3	49,531	24,578	74,109
Public Policy	1	79,201	9,504	88,705
Resource Economics	2	20,000	0	20,000
Sociology	5	358,570	27,643	386,213
MBU Total FY 2013	34	\$1,804,239	\$397,592	\$2,201,831
MBU Total FY 2012	35	\$1,558,649	\$467,911	\$2,026,560
Dean of Students				
Disability Services	1	15,000	0	15,000
Everywoman's Center	8	521,913	0	521,913
University Health Services	1	62,432	36,835	99,267
MBU Total FY 2013	10	\$599,345	\$36,835	\$636,180
MBU Total FY 2012	6	\$313,760	\$3,495	\$317,255
Facilities & Campus Services				
Utilities Office	1	387,000	0	387,000
MBU Total FY 2013	1	\$387,000	\$0	\$387,000
MBU Total FY 2012	2	\$2,024,218	\$47,066	\$2,071,284
Graduate School				
Graduate Dean's Office	3	1,160,000	0	1,160,000
NEAGEP/STEM	2	71,744	8,036	79,780
MBU Total FY 2013	5	\$1,231,744	\$8,036	\$1,239,780
MBU Total FY 2012	6	\$772,237	\$21,293	\$793,530
Human Resources				
Human Resources	7	629,953	126,899	756,852
MBU Total FY 2013	7	\$629,953	\$126,899	\$756,852
MBU Total FY 2012	1	\$5,200	\$0	\$5,200

AWARDS

Table 7 (cont'd)

Awards Accepted by Organizational Unit FY 2013

<u>Organizational Unit</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Information Technologies				
CIO	2	259,792	165,112	424,904
MBU Total FY 2013	2	\$259,792	\$165,112	\$424,904
MBU Total FY 2012	1	\$191,391	\$128,609	\$320,000
Library				
Library-Systems	1	30,420	17,948	48,368
MBU Total FY 2013	1	\$30,420	\$17,948	\$48,368
MBU Total FY 2012	1	\$42,950	\$0	\$42,950
School of Education				
Educational Policy Research & Admin	15	10,245,556	2,422,259	12,667,815
Student Dev & Pupil Personnel Services	6	452,167	57,310	509,477
Teacher Ed & Curriculum Studies	1	63,493	16,508	80,001
MBU Total FY 2013	22	\$10,761,216	\$2,496,077	\$13,257,293
MBU Total FY 2012	24	\$4,324,596	\$509,830	\$4,834,426
School of Management				
Finance & Operations Management	4	213,005	14,661	227,666
Hospitality & Tourism Mgmt	2	124,601	18,724	143,325
MA Small Business Dev Ctr	22	3,797,624	36,316	3,833,940
Sport Management	1	11,321	6,679	18,000
MBU Total FY 2013	29	\$4,146,551	\$76,380	\$4,222,931
MBU Total FY 2012	30	\$4,213,410	\$87,129	\$4,300,539
School of Nursing				
Nursing	6	856,795	43,692	900,487
MBU Total FY 2013	6	\$856,795	\$43,692	\$900,487
MBU Total FY 2012	9	\$290,864	\$7,386	\$298,250

AWARDS

Table 7 (cont'd)

Awards Accepted by Organizational Unit FY 2013

<u>Organizational Unit</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
School of Public Health & Health Sciences				
Communications Disorders	9	1,254,041	435,096	1,689,137
Kinesiology	14	907,234	292,091	1,199,325
Nutrition	8	2,191,339	525,126	2,716,465
Public Health	36	8,664,159	1,895,440	10,559,599
MBU Total FY 2013	67	\$13,016,773	\$3,147,753	\$16,164,526
MBU Total FY 2012	51	\$7,296,171	\$2,010,226	\$9,306,397
Student Affairs and Campus Life				
Family Resources	1	11,000	0	11,000
Vice Chancellors Office-St Affairs	1	239,968	10,000	249,968
MBU Total FY 2013	2	\$250,968	\$10,000	\$260,968
Undergraduate Affairs				
University Without Walls	1	1,500	0	1,500
MBU Total FY 2013	1	\$1,500	\$0	\$1,500
MBU Total FY 2012	1	\$1,500	\$0	\$1,500
University Relations				
Communications and Marketing	1	3,925	0	3,925
WFCR	2	335,183	0	335,183
MBU Total FY 2013	3	\$339,108	\$0	\$339,108
MBU Total FY 2012	4	\$430,069	\$0	\$430,069
VC for Research & Engagement				
C&I/Baystate/UM PVLSI	2	80,361	0	80,361
Global Health Institute	1	0	0	0
Mass Nanotech	7	3,133,876	1,285,201	4,419,077
Research Liaison Development	1	10,000	0	10,000
UMass Innovation Institute	3	200,000	0	200,000
University Press	16	57,518	0	57,518
VC for Research & Engagement	1	8,409	2,186	10,595
Water Res & Research Ctr	7	286,599	52,806	339,405
MBU Total FY 2013	38	\$3,776,763	\$1,340,193	\$5,116,956
MBU Total FY 2012	29	\$1,266,696	\$232,507	\$1,499,203

AWARDS

Table 7 (cont'd)

Awards Accepted by Organizational Unit FY 2013

<u>Organizational Unit</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Cumulative Total FY 13	1,043	\$115,832,136	\$33,047,623	\$148,879,759
Cumulative Total FY 12	967	\$114,722,359	\$29,906,911	\$144,629,270
Cumulative Total FY 11	1,083	\$111,723,895	\$31,804,153	\$143,528,048
% Change FY 2012 to FY 2013	8%	1%	11%	3%
% Change FY 2011 to FY 2013	-4%	4%	4%	4%

AWARDS

Table 8

5 Year Award Trend by Sponsor Category

Sponsor Category	FY2009		FY2010		FY2011		FY2012		FY2013	
	#	Dollars	#	Dollars	#	Dollars	#	Dollars	#	Dollars
Federal	467	\$93,635,259	498	\$129,262,137	457	\$100,731,941	372	\$102,298,074	413	\$102,443,337.00
Commonwealth of MA	74	\$16,316,146	74	\$9,165,862	58	\$9,430,532	55	\$12,454,611	73	\$14,005,634.00
Other States & Local Gov'ts	17	\$740,944	12	\$456,655	16	\$974,288	13	\$1,167,684	22	\$1,336,581.00
Non-Profit	360	\$16,672,462	325	\$20,674,374	315	\$18,845,923	295	\$14,363,891	314	\$18,724,535.00
Industry	222	\$10,039,334	225	\$10,434,480	237	\$13,545,364	232	\$14,345,010	221	\$12,369,672.00
Total	1,140	\$137,404,145	1,134	\$169,993,508	1,083	\$143,528,048	967	\$144,629,270	1,043	\$148,879,759.00

AWARDS

Table 9

Awards Accepted from Federal Agencies FY 2013

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
US Dept of Agriculture				
Agricultural Research Service (USDA - ARS)	2	51,952	655	52,607
Animal and Plant Health Inspec Serv (APHIS)	3	264,492	25,667	290,159
Forest Service (USFS)	11	1,175,777	0	1,175,777
Nat'l Institute of Food and Agriculture (NIFA)	9	1,738,294	3,710	1,742,004
Natural Resources Conserv Services(NRCS)	2	174,528	19,497	194,025
Northeast SARE	2	190,492	21,164	211,656
US Dept of Agriculture (USDA)	5	372,602	33,721	406,323
Total	34	\$3,968,137	\$104,414	\$4,072,551
US Dept of Commerce				
National Institute of Standards and Tech	1	93,633	27,898	121,531
Nat'l Oceanic and Atmospheric Admin (NOAA)	4	204,806	78,688	283,494
Total	5	\$298,439	\$106,586	\$405,025
US Dept of Defense				
Air Force Office of Scientific Research (AFOSR)	1	160,730	94,831	255,561
Air Force Research Laboratory	2	281,319	156,004	437,323
Army	1	41,435	3,315	44,750
Army Corps of Engineers	1	242,605	69,489	312,094
Army Natick Soldier R D and E Center	9	549,545	295,674	845,219
Army Research Institute	1	192,034	49,966	242,000
Army Research Lab (ARL)	1	72,074	37,910	109,984
Army Research Office (ARO)	11	437,362	227,325	664,687
Defense Logistics Agency	2	547,384	26,792	574,176
National Security Agency (NSA)	1	27,930	16,478	44,408
Naval Postgraduate School	1	95,962	53,428	149,390
Office of Naval Research (ONR)	11	1,115,939	309,439	1,425,378
Spawarsyscen-SD	2	198,329	101,346	299,675
Total	44	\$3,962,648	\$1,441,997	\$5,404,645
US Dept of Education				
National Writing Project	2	36,364	3,636	40,000
US Dept of Education (DOED)	4	870,312	25,430	895,742
Total	6	\$906,676	\$29,066	\$935,742

AWARDS

Table 9 (cont'd)

Awards Accepted from Federal Agencies FY 2013

US Dept of Energy

US Dept of Energy (DOE)	25	3,425,188	1,474,135	4,899,323
Total	25	\$3,425,188	\$1,474,135	\$4,899,323

US Dept of Health and Human Services

Health Resources and Services Admin (HRSA)	5	1,361,483	84,064	1,445,547
National Institutes of Health (NIH)	76	12,328,919	5,083,964	17,412,883
Total	81	\$13,690,402	\$5,168,028	\$18,858,430

US Dept of Interior

Geological Survey (USGS)	5	1,490,358	348,715	1,839,073
National Park Service	2	119,102	18,898	138,000
National Park Service-No. Atlantic Reg.	1	117,943	17,057	135,000
US Fish and Wildlife Service (FWS)	4	437,667	67,446	505,113
Total	12	\$2,165,070	\$452,116	\$2,617,186

US Dept of Justice

Federal Bureau of Investigation (FBI)	2	251,572	148,428	400,000
Total	2	\$251,572	\$148,428	\$400,000

US Dept of Transportation

Federal Aviation Administration (FAA)	1	173,803	96,197	270,000
Federal Highway Administration (FHA)	1	5,000	0	5,000
Federal Motor Carrier Safety Admin	1	191,588	108,194	299,782
Total	3	\$370,391	\$204,391	\$574,782

US Dept of the Treasury

US Dept of the Treasury	1	31,481	0	31,481
Total	1	\$31,481	\$0	\$31,481

AWARDS

Table 9 (cont'd)

Awards Accepted from Federal Agencies FY 2013

Independent Establishments & Govt Corps

Agency for International Development (AID)	2	9,077,351	2,157,857	11,235,208
Environmental Protection Agency (EPA)	3	130,189	25,080	155,269
Institute of Museum and Library Services	1	30,420	17,948	48,368
National Aero and Space Administration (NASA)	20	1,565,417	655,696	2,221,113
National Endowment for the Humanities (NEH)	2	50,852	21,741	72,593
Small Business Administration (SBA)	3	2,024,145	0	2,024,145
US Institute of Peace	1	1,818	182	2,000
US Securities and Exchange Commission (SEC)	1	109,840	0	109,840
Vietnam Education Foundation	1	3,000	0	3,000
Total	34	\$12,993,032	\$2,878,504	\$15,871,536

National Science Foundation

National Science Foundation (NSF)	161	35,867,978	12,151,709	48,019,687
Total	161	\$35,867,978	\$12,151,709	\$48,019,687

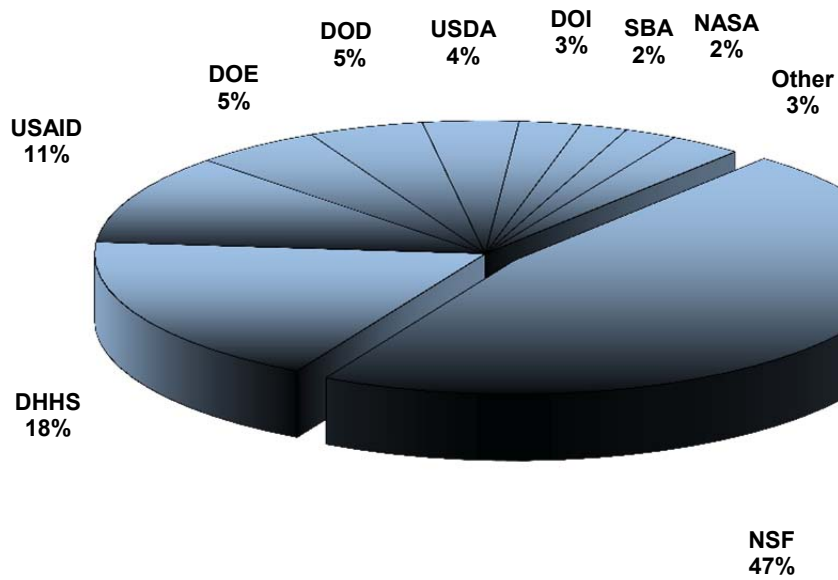
Other/Quasi Government Agencies

Department of Veterans Affairs (VA)	2	51,960	29,772	81,732
Smithsonian Astrophysical Observatory	2	83,112	42,288	125,400
UN Educational, Scientific & Cultural Organization (1	134,667	11,150	145,817
Total	5	\$269,739	\$83,210	\$352,949

Total Federal FY 2013	413	\$78,200,753	\$24,242,584	\$102,443,337
Total Federal FY 2012	372	\$81,544,544	\$20,753,530	\$102,298,074
Total Federal FY 2011	457	\$77,023,861	\$23,708,080	\$100,731,941
% Change FY 2012 to FY 2013	11%	-4%	17%	0%
% Change FY 2011 to FY 2013	-10%	2%	2%	2%

AWARDS

**Figure 10: Distribution of Award Dollars Accepted from Federal Agencies
FY 2013
Total Costs - \$102,443,337**



AWARDS

Table 10

Awards Accepted from Commonwealth of MA FY 2013

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Commonwealth of Massachusetts				
MA Clean Energy Center	5	459,804	105,196	565,000
MA Cultural Council	4	11,500	0	11,500
MA Department of Energy Resources	2	450,785	16,215	467,000
MA Dept of Agricultural Resources	10	314,818	62,452	377,270
MA Dept of Conservation and Recreation	6	344,937	72,298	417,235
MA Dept of Education	1	182,738	47,537	230,275
MA Dept of Elementary & Secondary Ed	8	861,771	209,026	1,070,797
MA Dept of Environmental Protection	4	564,911	60,299	625,210
MA Dept of Fish and Game	1	1,999	520	2,519
MA Dept of Higher Education	2	71,744	8,036	79,780
MA Dept of Public Health (DPH)	8	408,628	26,414	435,042
MA Dept of State Police	2	149,500	38,870	188,370
MA Dept of Transitional Assistance	4	2,046,630	455,359	2,501,989
MA Dept of Transportation	3	1,160,523	233,240	1,393,763
MA Division of Capital Asset Mgt	1	2,854	714	3,568
MA Division of Fisheries and Wildlife (DFW)	1	127,500	0	127,500
MA Division of Marine Fisheries	2	247,174	40,926	288,100
MA Emergency Management Agency	1	175,000	0	175,000
MA Exec Off of Public Safety & Security	4	299,155	30,056	329,211
MA Gaming Commission	1	3,227,534	231,857	3,459,391
MA Office for Victim Assistance	1	52,828	0	52,828
MA Office of Business Development	2	1,194,762	9,524	1,204,286
Total FY 2013 - Commonwealth of MA	73	\$12,357,095	\$1,648,539	\$14,005,634
Total FY 2012 - Commonwealth of MA	55	\$10,619,131	\$1,835,480	\$12,454,611
Total FY 2011 - Commonwealth of MA	58	\$8,303,342	\$1,127,190	\$9,430,532
% Change FY 2012 to FY 2013	33%	16%	-10%	12%
% Change FY 2011 to FY 2013	26%	49%	46%	49%

AWARDS

Table 11

Awards Accepted from Other States & Local Govts FY 2013

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Other States and Local Governments				
Amherst Town of	1	162,046	0	162,046
Amherst-Pelham Regional Schools	1	55,165	12,742	67,907
Arizona Geological Survey	1	52,509	30,981	83,490
City of Fort Worth	1	135,250	14,750	150,000
City of Philadelphia	1	49,980	24,937	74,917
Kingston Town of	1	28,109	6,770	34,879
Norwood Town of	1	26,597	6,812	33,409
Pioneer Valley Planning Commission	3	159,981	71,794	231,775
Pueblo Economic Development Corporation	1	55,970	19,030	75,000
Randolph Public Schools	1	29,964	2,999	32,963
Snohomish County Public Utility District	1	21,551	3,448	24,999
Springfield City of	1	9,090	910	10,000
Springfield Water and Sewer Commission	4	53,069	12,710	65,779
Upper Blackstone WPAD	3	159,816	41,551	201,367
Vermont Agency of Transportation	1	57,145	30,905	88,050
Total FY 2013 - Other States & Local Govts	22	\$1,056,242	\$280,339	\$1,336,581
Total FY 2012 - Other States & Local Govts	13	\$962,685	\$204,999	\$1,167,684
Total FY 2011 - Other States & Local Govts	16	\$758,577	\$215,711	\$974,288
% Change FY 2012 to FY 2013	69%	10%	37%	14%
% Change FY 2011 to FY 2013	38%	39%	30%	37%

AWARDS

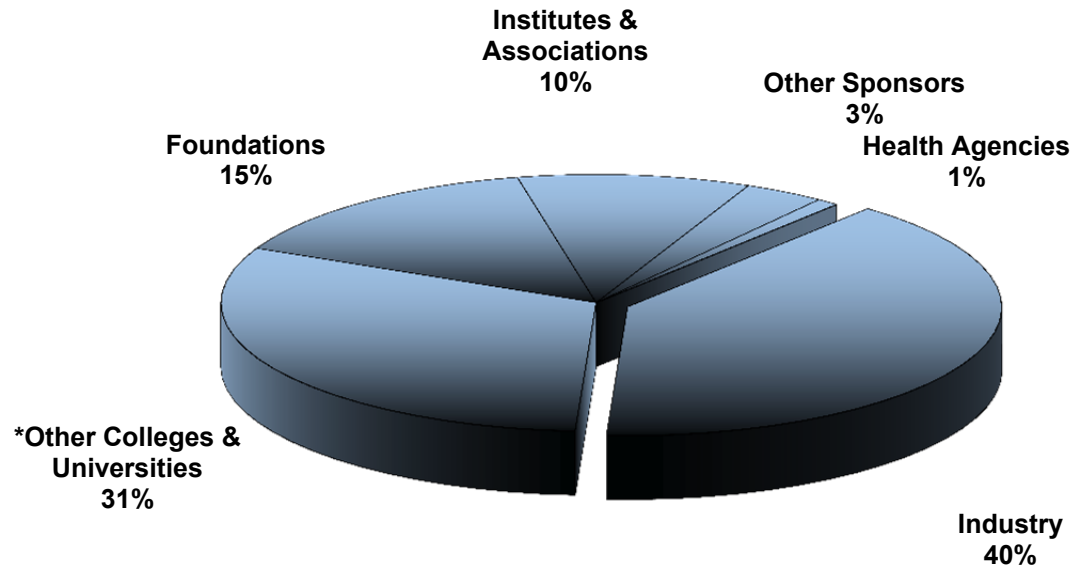
Table 12

Awards Accepted from the Private Sector FY 2013

<u>Sponsor</u>	<u>Awards</u>	<u>Direct</u>	<u>Indirect</u>	<u>Total</u>
Private Sector				
Non - Profit				
Foundations	68	4,278,701	276,946	4,555,647
Health Agencies	12	274,309	22,927	297,236
Institutes and Associations	78	2,715,593	409,634	3,125,227
Other Colleges and Universities	137	6,839,630	2,824,640	9,664,270
Other Sponsors	19	981,767	100,388	1,082,155
Total FY 2013 -- Non-Profit	314	15,090,000	3,634,535	18,724,535
Total FY 2012 -- Non-Profit	295	11,249,511	3,114,380	14,363,891
Total FY 2011 -- Non-Profit	315	15,419,507	3,426,416	18,845,923
% Change FY 2012 to FY 2013	6%	34%	17%	30%
% Change FY 2011 to FY 2013	0%	-2%	6%	-1%
Total FY 2013-- Industry	221	9,128,046	3,241,626	12,369,672
Total FY 2012-- Industry	232	10,346,488	3,998,522	14,345,010
Total FY 2011-- Industry	237	10,218,608	3,326,756	13,545,364
% Change FY 2012 to FY 2013	-5%	-12%	-19%	-14%
% Change FY 2011 to FY 2013	-7%	-11%	-3%	-9%
Total FY 2013 -- Private Sector	535	24,218,046	6,876,161	31,094,207
Total FY 2012 -- Private Sector	527	\$21,595,999	\$7,112,902	\$28,708,901
Total FY 2011 -- Private Sector	552	25,638,115	6,753,172	32,391,287
% Change FY 2012 to FY 2013	2%	12%	-3%	8%
% Change FY 2011 to FY 2013	-3%	-6%	2%	-4%
Cumulative Total FY 13	1,043	\$115,832,136	\$33,047,623	\$148,879,759
Cumulative Total FY 12	967	\$114,722,359	\$29,906,911	\$144,629,270
Cumulative Total FY 11	1,083	\$111,723,895	\$31,804,153	\$143,528,048
% Change FY 2012 to FY 2013	8%	1%	11%	3%
% Change FY 2011 to FY 2013	-4%	4%	4%	4%

AWARDS

Figure 11: Distribution of Award Dollars Accepted from the Private Sector FY 2013
Total Costs - \$31,094,207



* A Significant portion of these awards are prime Federal Funds

AWARDS

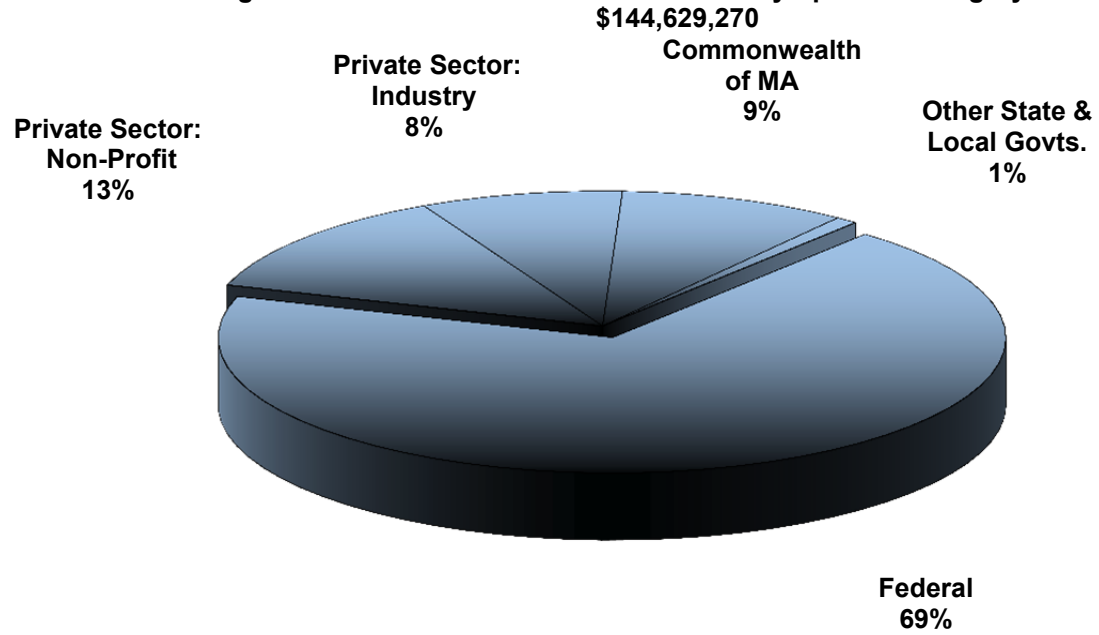
Table 13

Summary of Awards Accepted by Sponsor Category FY 2013

Sponsor	Awards	Direct	Indirect	Total
Federal	413	78,200,753	24,242,584	102,443,337
Commonwealth of Massachusetts	73	12,357,095	1,648,539	14,005,634
Other States & Local Governments	22	\$1,056,242	\$280,339	\$1,336,581
Private Sector -- Industry	221	9,128,046	3,241,626	12,369,672
Private Sector -- Non-Profit	314	15,090,000	3,634,535	18,724,535
Total Fiscal Year 2013	1,043	\$115,832,136	\$33,047,623	\$148,879,759

AWARDS

Figure 12: Distribution of Awarded Dollars by Sponsor Category FY 2013



AWARDS

Table 14

Summary of Project Characteristics & Award Types by Sponsor Category FY 2013

	Proj. Type	Award Type	# of Awards	\$ Amt Awards
Federal	Research	Grant	312	\$64,217,834
	Instruction	Grant	2	\$1,186,911
	Other	Grant	14	\$2,913,182
	Research	Co-Op	48	\$17,441,547
	Instruction	Co-Op	3	\$307,088
	Other	Co-Op	6	\$13,615,927
	Research	Contract	20	\$2,564,360
	Instruction	Contract	0	\$0
	Other	Contract	6	\$196,488
	Research	Grant	0	\$0
	Instruction	Grant	0	\$0
	Other	Grant	0	\$0
Commonwealth of MA	Research	Co-Op	0	\$0
	Instruction	Co-Op	0	\$0
	Other	Co-Op	0	\$0
	Research	Contract	41	\$7,354,271
	Instruction	Contract	6	\$877,259
	Other	Contract	26	\$5,774,104
	Research	Grant	0	\$0
	Instruction	Grant	0	\$0
	Other	Grant	0	\$0
	Research	Co-Op	0	\$0
	Instruction	Co-Op	0	\$0
	Other	Co-Op	0	\$0
Other States & Local Gov't	Research	Contract	20	\$1,167,235
	Instruction	Contract	1	\$7,300
	Other	Contract	1	\$162,046

AWARDS

Table 14 (cont'd)

Summary of Project Characteristics & Award Types by Sponsor Category FY 2013

	Proj. Type	Award Type	# of Awards	\$ Amt Awards
Non-Profit Private	Research	Grant	91	\$4,792,162
	Instruction	Grant	2	\$40,000
	Other	Grant	30	\$613,010
	Research	Co-Op	4	\$279,365
	Instruction	Co-Op	0	\$0
	Other	Co-Op	0	\$0
	Research	Contract	163	\$11,610,059
	Instruction	Contract	4	\$60,302
	Other	Contract	22	\$1,329,637
Industry	Research	Grant	82	\$1,785,580
	Instruction	Grant	0	\$0
	Other	Grant	18	\$108,133
	Research	Co-Op	3	\$139,340
	Instruction	Co-Op	0	\$0
	Other	Co-Op	0	\$0
	Research	Contract	112	\$10,256,619
	Instruction	Contract	0	\$0
	Other	Contract	6	\$80,000
Total FY 2013			1,043	\$148,879,759

NOTES

1. Reporting Costs, Awarded vs. Recovered

There is often a significant difference between the funds reported in the OGCA Report of Sponsored Activities (RSA) as awarded during the fiscal year to the Amherst Campus, and the University's financial accounting system, of funds expended and indirect costs earned during the same fiscal year. This discrepancy can be especially problematic in projecting indirect cost.

To Clarify:

A. The OGCA Report of Sponsored Activities lists the amount of firm commitments awarded by outside sponsors to the University during the period of the fiscal year being reported. This does not necessarily coincide with the effective dates for incurring expenditures and recovering indirect costs. Figures 11 and 12 illustrate the differences between \$ awarded and \$ expended over a ten year period.

B. If a multiple year award is issued, the firm commitment of funds is reported in the RSA. For example, if a three year award is issued with either incremental funding or firm commitment for the first year only, we report only the amount of the increment or the first year (generally the effective dates will reflect only the first period). The remainder of the funds and effective dates are reported when the sponsor authorizes or releases the additional funds. If the Sponsor authorizes the full amount with no contingencies for a multiple year period, then the total amount for the full project period is reported in the same year it was awarded.

C. The University Financial System reports expenditures and indirect cost recovery during the period that the awards are active. Indirect costs are charged and recovered monthly, based on the current month's actual expenditures of each account/award.

As a result of the two reporting functions, awarded vs. earned indirect costs in any given period cannot be reconciled exactly. However, the data from both systems are valuable in the University's analyses and projections.

2. Awards with Negative Dollar Amounts

Reductions of awards, e.g. sponsor mandated reduction, early termination, transfer of grant to another institution, etc., are recorded as negative dollar amounts. They are listed in the report as credits with new OGCA numbers. This serves to report changes in awards during the period in which they occur.

3. Award Type Definitions:

GRANT: An award instrument issued to the University in support of a particular activity, but usually not requiring a "product" other than technical progress reports. A grant contains terms and conditions associated with the awarding of funds and is therefore termed "restricted". (A few sponsors award "unrestricted" grants).

CONTRACT: A bilateral award agreement which specifies work to be performed, deliverables, and specific requirements. Also, any bilateral document specifying terms and conditions agreed to by both parties.

COOPERATIVE AGREEMENT: A type of contract which outlines involvement of both parties to the agreement.

4. Proposal Reports only Contain New proposal data.

Please note we are now only reporting New proposals in our reports, and thus include Project totals, not just the first year. This means that any proposal that is part of an ongoing project will not be added into the number of applications nor the dollar totals.

5. New Table 1: 5 Year New Proposal Success Rate Trend, New proposals being awarded.

We have expanded this table to include the breakout by sponsor category. It now shows the success rate of Federal Agencies, Commonwealth of Massachusetts, Other States and Local Governments, and the Private Sector.